

**PART III - SECTION J**

**LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS**

## **PART III - SECTION J**

### **LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS**

#### **Table of Contents**

Attachment 1	Billing Instructions
Attachment 2	Key Personnel
Attachment 3	Wage Determination
Attachment 4	Uniform Reporting System DOE 1322.1A
Attachment 4a	DOE Form 1332.1, Reporting Requirements Checklist
Attachment 4b	DOE Form 1332.4, Labor Plan
Attachment 4c	DOE Form 1332.7, Cost Plan
Attachment 4d	DOE Form 1332.8, Labor Management Report
Attachment 4e	DOE Form 1332.9, Cost Management Report
Attachment 4f	Uniform Reporting System Guidelines (URSG)
Attachment 5	Government-Furnished Property
Attachment 6	DOE Software
Attachment 7	Performance Evaluation Plan and Quality Assurance Surveillance Plan for Technical and Management Support Services, Evaluation Period November 1, 2006 through October 31, 2011

SECTION J  
ATTACHMENT 1  
BILLING INSTRUCTIONS

## Section J

### Attachment 1

#### BILLING INSTRUCTIONS

(Cost-Reimbursement Type Contracts)

- I. Introduction. These instructions are provided for use by Contractors in the preparation and submission of vouchers requesting reimbursement for work performed under cost-reimbursement type contracts. Compliance with these instructions will reduce correspondence and other causes for delay, to a minimum and will thus promote payments to the Contractor.
- II. Voucher Form. In requesting reimbursement, Contractors shall use Standard Form 1034 (Public Voucher for Purchases and Services Other Than Personal) (see Exhibit A), supported by a Statement of Cost (see Exhibit B). An acceptable substitute (which provides the same necessary information as found in Exhibit A and B of these instructions) may be used provided the written consent of the Contracting Officer is first obtained.
- III. Preparation. Standard Form 1034 shall be completed in accordance with the following instructional notations (see counterpart notations on Exhibit A):
  - (1) Leave blank.
  - (2) Enter voucher number (number consecutively, commencing with “1”).
  - (3) Enter date voucher prepared.
  - (4) Enter contract number and date of contract award.
  - (5) Enter contractor’s name, mailing address, and telephone number of office responsible for submitting voucher.
  - (6) If a task order or project agreement is involved in the billing, enter the number and ate of thereof, otherwise leave blank.
  - (7) Identify the period the billing covers (e.g., “Jan. 200\_” or “Jan.-Mar. 200\_”).

**BILLING INSTRUCTIONS**  
(Cost-Reimbursement Type Contracts)  
(Continued)

- (8) Enter the dollar amount of this billing. The amount claimed must agree with the amount reflected in the attached Statement of Cost (see Exhibit B).
- (9) Place and "X" in the appropriate block for the type of payment for which reimbursement is requested.

The Statement of Cost shall be completed substantially as shown in Exhibit B; making due allowance for the Contractor's cost accounting system. Costs claimed shall be only those recorded costs authorized by billing by the payment provision of the contract. Indirect costs claimed shall reflect actual experience, but in not event shall exceed those approved for billing purposes by the Contracting Officer. Additional supporting data for claimed costs shall be provided in such form and reasonable detail as an authorized representative of the Contracting Officer may require.

- IV. Billing Period. Voucher shall be submitted no more frequently than bi-weekly (unless prior written consent of the Contracting Officer for more frequent billing is obtained). The period of performance covered by vouchers should be the same as covered by any required monthly technical progress reports.
- V. Submission. Submit original voucher and three copies (each supported by a copy of the Statement of Cost) to the address prescribed by the contract (normally shown on Block 10 of Standard Form 26, the cover page of the contract). The Certification on the Statement of Cost attached to the original must be signed by the responsible official of the Contractor.
- VI. Complete Invoice. The Contractor shall submit a completion voucher in accordance with the payment provisions of this contract. The completion voucher must be submitted and must be labeled as indicated in the payment provisions. A copy of the completion voucher will be provided directly by the contractor to the cognizant Government audit agency (e.g., the Defense Contract Audit Agency (DCAA), the Department of Health and Human Services HHS)).

# EXHIBIT A

Standard Form 1034 Revised October 1987 Department of the Treasury 1TFM 4-2000 1034-121		<b>PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL</b>				VOUCHER NO.  <div style="text-align: center;">(2)</div>	
U.S. DEPARTMENT, BUREAU, OR ESTABLISHMENT AND LOCATION  U.S. Department of Energy SPR Project Management Office ATTN: Finance Division 900 Commerce Road East New Orleans, LA 70123			DATE VOUCHER PREPARED		SCHEDULE NO.		
			(3)		(1)		
			CONTRACT NUMBER AND DATE		PAID BY		
(4)							
REQUISITION NUMBER AND DATE		(1)					
PAYEE'S NAME AND ADDRESS  <div style="text-align: center;">(5)</div>			DATE INVOICE RECEIVED				
			(1)				
			DISCOUNT TERMS				
			(1)				
PAYEE'S ACCOUNT NUMBER			(1)				
SHIPPED FROM		TO		WEIGHT		GOVERNMENT B/L NUMBER	
(1)		(1)		(1)		(1)	
NUMBER AND DATE OF ORDER	DATE OF DELIVERY OR SERVICE	ARTICLES OR SERVICES <i>(Enter description, item number of contract or Federal supply schedule, and other information deemed necessary)</i>	QUANTITY	UNIT PRICE		AMOUNT	
				COST	PER	(1)	
(6)	(7)	For reimbursement of costs incurred under the above-cited contract as detailed in attached summary of costs	(1)	(1)	(1)	(8)	
(Use continuation sheet(s) (if necessary) <span style="float: right;">(Payee must NOT use the space below)</span>						TOTAL	
PAYMENT: <input type="checkbox"/> PROVISIONAL <input type="checkbox"/> COMPLETE <input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL <input type="checkbox"/> PROGRESS <input type="checkbox"/> ADVANCE		APPROVED FOR	EXCHANGE RATE	DIFFERENCES			
		= \$ (1)	(1) = \$1.00	(1)			
		BY <sup>(2)</sup>					
		(1)					
		TITLE			Amount verified; correct for		
		(1)			(Signature or initials)		(1)
Pursuant to authority vested in me, I certify that this voucher is correct and proper for payment.							
(1)		(1)		(1)			
(Date)		(Authorized Certifying Official) <sup>(2)</sup>		(Title)			
ACCOUNTING CLASSIFICATION							
<div style="text-align: center;">(1)</div>							
PAID BY	CHECK NUMBER		ON ACCOUNT OF U.S. TREASURY		CHECK NUMBER		ON (Name of bank)
	(1)		(1)		(1)		(1)
	CASH		DATE		PAYEE <sup>(3)</sup>		
				(1)			
(1) When stated in foreign currency, insert name of currency. (2) If the ability to certify and authority to approve are combined in one person, one signature only is necessary, otherwise the approving officer will sign in the space provided, over his official title. (3) When a voucher is receipted in the name of a company or corporation, the name of the person writing the company or corporate name, as well as the capacity in which he signs, must appear. For example: "John Doe Company, per John Smith, Secretary," or "Treasurer," as the case may be.				PER			
				(1)			
				TITLE		(1)	

Previous edition usable.

## PRIVACY ACT STATEMENT

The information requested on this form is required under the provisions of 31 U.S.C. 82b and 82c, for the purpose of disbursing Federal money. The information requested is to identify the particular creditor and the amounts to be paid. Failure to furnish this information will hinder discharge of the payment obligation.

EXHIBIT B

STATEMENT OF COST  
(Cost-Reimbursement Type Contracts)

The ABC Company  
Anywhere, U.S.A 01234

Contract No. \_\_\_\_\_  
Voucher No. \_\_\_\_\_

Contract Amount (face value):

Amount Authorized for Expenditure (obligated):

Estimated Cost  
Fixed-Fee (if any) \$ \_\_\_\_\_  
Total \$ \_\_\_\_\_

Basic Contract \$ \_\_\_\_\_  
All Modifications \$ \_\_\_\_\_  
Contract to Date \$ \_\_\_\_\_

Period of performance covered by this billing: \_\_\_\_\_

Claimed Costs	<u>Claimed For This Billing Period</u>	<u>Cumulative Claimed Through This Billing Period</u>
Direct Labor		
Fringe Benefits @ % _____		
Overhead @ % _____		
Nonexpendable Items		
Materials and Supplies		
Travel		
Subcontract #1		
Subcontract #2		
Subcontract #3		
Subcontract #4		
Other Direct Costs		
Adjustments (Explain)	_____	_____
Total Costs (Less G&A)	_____	_____
G&A @ % _____	_____	_____
Total Costs	_____	_____
Fee @ % _____ (if any)	_____	_____
Total Costs and Fee	_____	_____

CERTIFICATION: I certify that this invoice is correct and in accordance with the terms of the contract and that the costs included herein have been incurred, represent payments made by the Contractor except as otherwise authorized in the payments provisions of the contract, and properly reflect the work performed.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)

EXPLANATION:

SECTION J  
ATTACHMENT 2  
KEY PERSONNEL



Section J

Attachment 2

KEY PERSONNEL

NAME

TITLE

SECTION J  
ATTACHMENT 3  
WAGE DETERMINATION

Section J  
Attachment 3  
WAGE DETERMINATION

94-2233 LA, NEW ORLEANS

WAGE DETERMINATION NO: 94-2233 REV (25)

AREA: LA, NEW ORLEANS

HEALTH AND WELFARE LEVEL

INSURANCE ONLY \*\*OTHER WELFARE LEVEL WD: 94-2234

\*\*\*\*\*

REGISTER OF WAGE DETERMINATIONS UNDER  
THE SERVICE CONTRACT ACT  
By direction of the Secretary of Labor

U.S. DEPARTMENT OF LABOR  
EMPLOYMENT STANDARDS  
ADMINISTRATION  
WAGE AND HOUR DIVISION  
WASHINGTON D.C. 20210

William W.Gross  
Director

Division of  
Wage Determinations

Wage Determination No.: 1994-2233  
Revision No.: 25  
Date Of Revision: 05/23/2005

State: Louisiana

Area: Louisiana Parishes of Jefferson, Lafourche, Orleans, Plaquemines, Saint John The Baptist, St Bernard, St Charles, St Tammany, Terrebonne, Washington

\*\*Fringe Benefits Required Follow the Occupational Listing\*\*

OCCUPATION CODE	TITLE	MINIMUM WAGE RATE
01000	Administrative Support and Clerical Occupations	
01011-	Accounting Clerk I	8.99
01012-	Accounting Clerk II	10.12
01013-	Accounting Clerk III	11.90
01014-	Accounting Clerk IV	14.38
01030-	Court Reporter	16.26
01050-	Dispatcher, Motor Vehicle	14.82
01060-	Document Preparation Clerk	11.90
01070-	Messenger (Courier)	10.01
01090-	Duplicating Machine Operator	11.90
01110-	Film/Tape Librarian	12.02
01115-	General Clerk I	6.62
01116-	General Clerk II	9.06
01117-	General Clerk III	9.89
01118-	General Clerk IV	11.84
01120-	Housing Referral Assistant	16.65
01131-	Key Entry Operator I	10.18
01132-	Key Entry Operator II	11.83
01191-	Order Clerk I	10.59
01192-	Order Clerk II	12.60
01261-	Personnel Assistant (Employment) I	9.28
01262-	Personnel Assistant (Employment) II	11.12
01263-	Personnel Assistant (Employment) III	14.41
01264-	Personnel Assistant (Employment) IV	15.75
01270-	Production Control Clerk	16.80
01290-	Rental Clerk	12.40
01300-	Scheduler, Maintenance	12.40
01311-	Secretary I	13.36
01312-	Secretary II	14.84

01313-	Secretary III	16.65
01314-	Secretary IV	19.66
01315-	Secretary V	22.88
01320-	Service Order Dispatcher	13.10
01341-	Stenographer I	13.43
01342-	Stenographer II	14.98
01400-	Supply Technician	19.66
01420-	Survey Worker (Interviewer)	11.88
01460-	Switchboard Operator-Receptionist	8.99
01510-	Test Examiner	14.84
01520-	Test Proctor	14.84
01531-	Travel Clerk I	10.75
01532-	Travel Clerk II	11.37
01533-	Travel Clerk III	12.00
01611-	Word Processor I	10.92
01612-	Word Processor II	12.95
01613-	Word Processor III	14.73
03000	Automatic Data Processing Occupations	
03010-	Computer Data Librarian	11.44
03041-	Computer Operator I	11.44
03042-	Computer Operator II	12.87
03043-	Computer Operator III	14.85
03044-	Computer Operator IV	16.48
03045-	Computer Operator V	18.28
03071-	Computer Programmer I (1)	18.77
03072-	Computer Programmer II (1)	21.62
03073-	Computer Programmer III (1)	26.77
03074-	Computer Programmer IV (1)	27.62
03101-	Computer Systems Analyst I (1)	23.18
03102-	Computer Systems Analyst II (1)	27.62
03103-	Computer Systems Analyst III (1)	27.62
03160-	Peripheral Equipment Operator	12.49
05000	Automotive Service Occupations	
05005-	Automotive Body Repairer, Fiberglass	17.07
05010-	Automotive Glass Installer	14.71
05040-	Automotive Worker	14.71
05070-	Electrician, Automotive	15.73
05100-	Mobile Equipment Servicer	12.65
05130-	Motor Equipment Metal Mechanic	16.63
05160-	Motor Equipment Metal Worker	14.71
05190-	Motor Vehicle Mechanic	16.63
05220-	Motor Vehicle Mechanic Helper	11.63
05250-	Motor Vehicle Upholstery Worker	13.69
05280-	Motor Vehicle Wrecker	14.71
05310-	Painter, Automotive	15.73
05340-	Radiator Repair Specialist	14.71
05370-	Tire Repairer	11.51
05400-	Transmission Repair Specialist	16.63
07000	Food Preparation and Service Occupations	
(not set)	Food Service Worker	6.86
07010-	Baker	9.73
07041-	Cook I	8.17
07042-	Cook II	9.50
07070-	Dishwasher	6.86
07130-	Meat Cutter	10.81
07250-	Waiter/Waitress	6.70
09000	Furniture Maintenance and Repair Occupations	
09010-	Electrostatic Spray Painter	14.81
09040-	Furniture Handler	10.80
09070-	Furniture Refinisher	14.81

09100-	Furniture Refinisher Helper	10.95
09110-	Furniture Repairer, Minor	12.89
09130-	Upholsterer	14.81
11030-General	Services and Support Occupations	
11030-	Cleaner, Vehicles	7.96
11060-	Elevator Operator	7.62
11090-	Gardener	10.49
11121-	House Keeping Aid I	6.86
11122-	House Keeping Aid II	7.62
11150-	Janitor	8.10
11210-	Laborer, Grounds Maintenance	8.73
11240-	Maid or Houseman	6.86
11270-	Pest Controller	11.08
11300-	Refuse Collector	9.56
11330-	Tractor Operator	10.11
11360-	Window Cleaner	9.08
12000-Health	Occupations	
12020-	Dental Assistant	10.93
12040-	Emergency Medical Technician (EMT)/Paramedic/Ambulance Driver	13.16
12071-	Licensed Practical Nurse I	12.27
12072-	Licensed Practical Nurse II	14.29
12073-	Licensed Practical Nurse III	15.58
12100-	Medical Assistant	10.07
12130-	Medical Laboratory Technician	14.43
12160-	Medical Record Clerk	13.28
12190-	Medical Record Technician	16.38
12221-	Nursing Assistant I	7.90
12222-	Nursing Assistant II	8.89
12223-	Nursing Assistant III	9.69
12224-	Nursing Assistant IV	10.87
12250-	Pharmacy Technician	13.41
12280-	Phlebotomist	10.87
12311-	Registered Nurse I	20.30
12312-	Registered Nurse II	26.31
12313-	Registered Nurse II, Specialist	28.08
12314-	Registered Nurse III	33.86
12315-	Registered Nurse III, Anesthetist	33.86
12316-	Registered Nurse IV	40.57
13000-Information and Arts	Occupations	
13002-	Audiovisual Librarian	17.34
13011-	Exhibits Specialist I	16.73
13012-	Exhibits Specialist II	20.55
13013-	Exhibits Specialist III	25.07
13041-	Illustrator I	16.73
13042-	Illustrator II	20.55
13043-	Illustrator III	25.07
13047-	Librarian	19.20
13050-	Library Technician	13.07
13071-	Photographer I	13.59
13072-	Photographer II	16.73
13073-	Photographer III	20.55
13074-	Photographer IV	25.07
13075-	Photographer V	30.40
15000-Laundry, Dry Cleaning, Pressing and Related	Occupations	
15010-	Assembler	7.41
15030-	Counter Attendant	7.41
15040-	Dry Cleaner	9.47

15070-	Finisher, Flatwork, Machine	7.41
15090-	Presser, Hand	7.41
15100-	Presser, Machine, Drycleaning	7.41
15130-	Presser, Machine, Shirts	7.41
15160-	Presser, Machine, Wearing Apparel, Laundry	7.41
15190-	Sewing Machine Operator	10.16
15220-	Tailor	10.84
15250-	Washer, Machine	8.10
19000-Machine	Tool Operation and Repair Occupations	
19010-	Machine-Tool Operator (Toolroom)	15.10
19040-	Tool and Die Maker	18.42
21000-Material	Handling and Packing Occupations	
21010-	Fuel Distribution System Operator	15.07
21020-	Material Coordinator	16.80
21030-	Material Expediter	16.80
21040-	Material Handling Laborer	14.29
21050-	Order Filler	10.32
21071-	Forklift Operator	13.56
21080-	Production Line Worker (Food Processing)	13.10
21100-	Shipping/Receiving Clerk	11.87
21130-	Shipping Packer	11.87
21140-	Store Worker I	8.63
21150-	Stock Clerk (Shelf Stocker; Store Worker II)	11.69
21210-	Tools and Parts Attendant	13.56
21400-	Warehouse Specialist	13.56
23000-Mechanics and	Maintenance and Repair Occupations	
23010-	Aircraft Mechanic	22.35
23040-	Aircraft Mechanic Helper	15.63
23050-	Aircraft Quality Control Inspector	23.50
23060-	Aircraft Servicer	18.39
23070-	Aircraft Worker	19.78
23100-	Appliance Mechanic	15.53
23120-	Bicycle Repairer	11.51
23125-	Cable Splicer	19.21
23130-	Carpenter, Maintenance	15.77
23140-	Carpet Layer	14.66
23160-	Electrician, Maintenance	18.62
23181-	Electronics Technician, Maintenance I	19.07
23182-	Electronics Technician, Maintenance II	20.08
23183-	Electronics Technician, Maintenance III	21.26
23260-	Fabric Worker	13.57
23290-	Fire Alarm System Mechanic	16.88
23310-	Fire Extinguisher Repairer	12.46
23340-	Fuel Distribution System Mechanic	18.95
23370-	General Maintenance Worker	14.42
23400-	Heating, Refrigeration and Air Conditioning Mechanic	18.01
23430-	Heavy Equipment Mechanic	17.49
23440-	Heavy Equipment Operator	16.88
23460-	Instrument Mechanic	18.82
23470-	Laborer	9.68
23500-	Locksmith	15.77
23530-	Machinery Maintenance Mechanic	20.93
23550-	Machinist, Maintenance	18.64
23580-	Maintenance Trades Helper	10.95
23640-	Millwright	20.01
23700-	Office Appliance Repairer	15.77
23740-	Painter, Aircraft	15.77
23760-	Painter, Maintenance	16.92
23790-	Pipefitter, Maintenance	17.89
23800-	Plumber, Maintenance	16.92

23820-	Pneudraulic Systems Mechanic	16.88
23850-	Rigger	16.88
23870-	Scale Mechanic	14.66
23890-	Sheet-Metal Worker, Maintenance	16.88
23910-	Small Engine Mechanic	15.93
23930-	Telecommunication Mechanic I	20.06
23931-	Telecommunication Mechanic II	21.10
23950-	Telephone Lineman	20.06
23960-	Welder, Combination, Maintenance	16.88
23965-	Well Driller	16.88
23970-	Woodcraft Worker	16.88
23980-	Woodworker	11.91
24000-	Personal Needs Occupations	
24570-	Child Care Attendant	8.82
24580-	Child Care Center Clerk	11.57
24600-	Chore Aid	6.83
24630-	Homemaker	14.78
25000-	Plant and System Operation Occupations	
25010-	Boiler Tender	17.40
25040-	Sewage Plant Operator	14.81
25070-	Stationary Engineer	17.40
25190-	Ventilation Equipment Tender	11.70
25210-	Water Treatment Plant Operator	14.81
27000-	Protective Service Occupations	
(not set)-	Police Officer	14.96
27004-	Alarm Monitor	10.52
27006-	Corrections Officer	10.87
27010-	Court Security Officer	12.33
27040-	Detention Officer	10.87
27070-	Firefighter	12.98
27101-	Guard I	8.15
27102-	Guard II	11.70
28000-	Stevedoring/Longshoremen Occupations	
28010-	Blocker and Bracer	16.85
28020-	Hatch Tender	18.07
28030-	Line Handler	18.07
28040-	Stevedore I	14.62
28050-	Stevedore II	16.79
29000-	Technical Occupations	
21150-	Graphic Artist	19.58
29010-	Air Traffic Control Specialist, Center (2)	31.49
29011-	Air Traffic Control Specialist, Station (2)	21.71
29012-	Air Traffic Control Specialist, Terminal (2)	23.92
29023-	Archeological Technician I	14.70
29024-	Archeological Technician II	16.43
29025-	Archeological Technician III	20.35
29030-	Cartographic Technician	23.42
29035-	Computer Based Training (CBT) Specialist/ Instructor	23.18
29040-	Civil Engineering Technician	21.48
29061-	Drafter I	14.84
29062-	Drafter II	17.03
29063-	Drafter III	19.46
29064-	Drafter IV	23.42
29081-	Engineering Technician I	15.87
29082-	Engineering Technician II	17.53
29083-	Engineering Technician III	19.69
29084-	Engineering Technician IV	23.86
29085-	Engineering Technician V	29.19
29086-	Engineering Technician VI	32.57
29090-	Environmental Technician	22.92

29100-	Flight Simulator/Instructor (Pilot)	27.62
29160-	Instructor	18.86
29210-	Laboratory Technician	19.83
29240-	Mathematical Technician	23.14
29361-	Paralegal/Legal Assistant I	15.50
29362-	Paralegal/Legal Assistant II	20.47
29363-	Paralegal/Legal Assistant III	25.05
29364-	Paralegal/Legal Assistant IV	30.33
29390-	Photooptics Technician	24.56
29480-	Technical Writer	23.99
29491-	Unexploded Ordnance (UXO) Technician I	20.02
29492-	Unexploded Ordnance (UXO) Technician II	24.22
29493-	Unexploded Ordnance (UXO) Technician III	29.03
29494-	Unexploded (UXO) Safety Escort	20.02
29495-	Unexploded (UXO) Sweep Personnel	20.02
29620-	Weather Observer, Senior (3)	16.36
29621-	Weather Observer, Combined Upper Air and Surface Programs (3)	14.72
29622-	Weather Observer, Upper Air (3)	14.72
31000-	Transportation/ Mobile Equipment Operation Occupations	
31030-	Bus Driver	13.65
31260-	Parking and Lot Attendant	7.29
31290-	Shuttle Bus Driver	12.43
31300-	Taxi Driver	8.57
31361-	Truckdriver, Light Truck	12.54
31362-	Truckdriver, Medium Truck	14.51
31363-	Truckdriver, Heavy Truck	15.01
31364-	Truckdriver, Tractor-Trailer	15.01
99000-	Miscellaneous Occupations	
99020-	Animal Caretaker	8.02
99030-	Cashier	7.18
99041-	Carnival Equipment Operator	9.86
99042-	Carnival Equipment Repairer	10.73
99043-	Carnival Worker	7.24
99050-	Desk Clerk	8.82
99095-	Embalmer	19.16
99300-	Lifeguard	10.52
99310-	Mortician	22.06
99350-	Park Attendant (Aide)	13.21
99400-	Photofinishing Worker (Photo Lab Tech., Darkroom Tech)	10.52
99500-	Recreation Specialist	12.20
99510-	Recycling Worker	13.02
99610-	Sales Clerk	10.01
99620-	School Crossing Guard (Crosswalk Attendant)	8.06
99630-	Sport Official	10.52
99658-	Survey Party Chief (Chief of Party)	17.37
99659-	Surveying Technician (Instr. Person/Surveyor Asst./Instr.)	15.78
99660-	Surveying Aide	12.84
99690-	Swimming Pool Operator	12.17
99720-	Vending Machine Attendant	11.07
99730-	Vending Machine Repairer	13.99
99740-	Vending Machine Repairer Helper	11.07

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ALL OCCUPATIONS LISTED ABOVE RECEIVE THE FOLLOWING BENEFITS:

HEALTH & WELFARE: \$2.87 an hour or \$114.80 a week or \$497.47 a month



VACATION: 2 weeks paid vacation after 1 year of service with a contractor or successor; 3 weeks after 8 years, and 4 weeks after 15 years. Length of service includes the whole span of continuous service with the present contractor or successor, wherever employed, and with the predecessor contractors in the performance of similar work at the same Federal facility. (Reg. 29 CFR 4.173)

HOLIDAYS: A minimum of ten paid holidays per year: New Year's Day, Martin Luther King Jr.'s Birthday, Washington's Birthday, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Thanksgiving Day, and Christmas Day. (A contractor may substitute for any of the named holidays another day off with pay in accordance with a plan communicated to the employees involved.) (See 29 CFR 4.174)

THE OCCUPATIONS WHICH HAVE PARENTHESES AFTER THEM RECEIVE THE FOLLOWING BENEFITS (as numbered):

- 1) Does not apply to employees employed in a bona fide executive, administrative, or professional capacity as defined and delineated in 29 CFR 541. (See CFR 4.156)
- 2) APPLICABLE TO AIR TRAFFIC CONTROLLERS ONLY NIGHT DIFFERENTIAL: An employee is entitled to pay for all work performed between the hours of 6:00 P.M. and 6:00 A.M. at the rate of basic pay plus a night pay differential amounting to 10 percent of the rate of basic pay.
- 3) WEATHER OBSERVERS - NIGHT PAY & SUNDAY PAY: If you work at night as part of a regular tour of duty, you will earn a night differential and receive an additional 10% of basic pay for any hours worked between 6pm and 6am. If you are a full-time employed (40 hours a week) and Sunday is part of your regularly scheduled workweek, you are paid at your rate of basic pay plus a Sunday premium of 25% of your basic rate for each hour of Sunday work which is not overtime (i.e. occasional work on Sunday outside the normal tour of duty is considered overtime work).

HAZARDOUS PAY DIFFERENTIAL: An 8 percent differential is applicable to employees employed in a position that represents a high degree of hazard when working with or in close proximity to ordnance, explosives, and incendiary materials. This includes work such as screening, blending, dying, mixing, and pressing of sensitive ordnance, explosives, and pyrotechnic compositions such as lead azide, black powder and photoflash powder. All dry-house activities involving propellants or explosives. Demilitarization, modification, renovation, demolition, and maintenance operations on sensitive ordnance, explosives and incendiary materials. All operations involving reggrading and cleaning of artillery ranges.

A 4 percent differential is applicable to employees employed in a position that represents a low degree of hazard when working with, or in close proximity to ordnance, (or employees possibly adjacent to) explosives and incendiary materials which involves potential injury such as laceration of hands, face, or arms of the employee engaged in the operation, irritation of the skin, minor burns and the like; minimal damage to immediate or adjacent work area or equipment being used. All operations involving, unloading, storage, and hauling of ordnance, explosive, and incendiary ordnance material other than small arms ammunition. These differentials are only applicable to work that has been specifically designated by the agency for ordnance, explosives, and incendiary material differential pay.

#### \*\* UNIFORM ALLOWANCE \*\*

If employees are required to wear uniforms in the performance of this contract (either by the terms of the Government contract, by the employer, by the state or local law, etc.), the cost of furnishing such uniforms and maintaining (by laundering or dry cleaning) such uniforms is an expense that may not be borne by an employee where such cost reduces the hourly rate below that required by the wage determination. The Department of Labor will accept payment in accordance with the following standards as compliance:

The contractor or subcontractor is required to furnish all employees with an adequate number of uniforms without cost or to reimburse employees for the actual cost of the uniforms. In addition, where uniform cleaning and maintenance is made the responsibility of the employee, all contractors and subcontractors subject to this wage determination shall (in the absence of a bona fide collective bargaining agreement providing for a different amount, or the furnishing of contrary affirmative proof as to the actual cost), reimburse all employees for such cleaning and maintenance at a rate of \$3.35 per week (or \$.67 cents per day). However, in those instances where the uniforms

furnished are made of "wash and wear" materials, may be routinely washed and dried with other personal garments, and do not require any special treatment such as dry cleaning, daily washing, or commercial laundering in order to meet the cleanliness or appearance standards set by the terms of the Government contract, by the contractor, by law, or by the nature of the work, there is no requirement that employees be reimbursed for uniform maintenance costs.

**\*\* NOTES APPLYING TO THIS WAGE DETERMINATION \*\***

Under the policy and guidance contained in All Agency Memorandum No. 159, the Wage and Hour Division does not recognize, for section 4(c) purposes, prospective wage rates and fringe benefit provisions that are effective only upon such contingencies as "approval of Wage and Hour, issuance of a wage determination, incorporation of the wage determination in the contract, adjusting the contract price, etc." (The relevant CBA section) in the collective bargaining agreement between (the parties) contains contingency language that Wage and Hour does not recognize as reflecting "arm's length negotiation" under section 4(c) of the Act and 29 C.F.R. 5.11(a) of the regulations. This wage determination therefore reflects the actual CBA wage rates and fringe benefits paid under the predecessor contract.

**Source of Occupational Title and Descriptions:**

The duties of employees under job titles listed are those described in the "Service Contract Act Directory of Occupations," Fourth Edition, January 1993, as amended by the Third Supplement, dated March 1997, unless otherwise indicated. This publication may be obtained from the Superintendent of Documents, at 202-783-3238, or by writing to the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. Copies of specific job descriptions may also be obtained from the appropriate contracting officer.

**REQUEST FOR AUTHORIZATION OF ADDITIONAL CLASSIFICATION AND WAGE RATE {Standard Form 1444 (SF 1444)}**

**Conformance Process:**

The contracting officer shall require that any class of service employee which is not listed herein and which is to be employed under the contract (i.e., the work to be performed is not performed by any classification listed in the wage determination), be classified by the contractor so as to provide a reasonable relationship (i.e., appropriate level of skill comparison) between such unlisted classifications and the classifications listed in the wage determination. Such conformed classes of employees shall be paid the monetary wages and furnished the fringe benefits as are determined. Such conforming process shall be initiated by the contractor prior to the performance of contract work by such unlisted class(es) of employees. The conformed classification, wage rate, and/or fringe benefits shall be retroactive to the commencement date of the contract. {See Section 4.6 (C)(vi)} When multiple wage determinations are included in a contract, a separate SF 1444 should be prepared for each wage determination to which a class(es) is to be conformed.

The process for preparing a conformance request is as follows:

- 1) When preparing the bid, the contractor identifies the need for a conformed occupation(s) and computes a proposed rate(s).
- 2) After contract award, the contractor prepares a written report listing in order proposed classification title(s), a Federal grade equivalency (FGE) for each proposed classification(s), job description(s), and rationale for proposed wage rate(s), including information regarding the agreement or disagreement of the authorized representative of the employees involved, or where there is no authorized representative, the employees themselves. This report should be submitted to the contracting officer no later than 30 days after such unlisted class(es) of employees performs any contract work.
- 3) The contracting officer reviews the proposed action and promptly submits a report of the action, together with the agency's recommendations and pertinent information including the position of the contractor and the employees, to the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, for review. (See section 4.6(b)(2) of Regulations 29 CFR Part 4).

- 4) Within 30 days of receipt, the Wage and Hour Division approves, modifies, or disapproves the action via transmittal to the agency contracting officer, or notifies the contracting officer that additional time will be required to process the request.
- 5) The contracting officer transmits the Wage and Hour decision to the contractor.
- 6) The contractor informs the affected employees.

Information required by the Regulations must be submitted on SF 1444 or bond paper.

When preparing a conformance request, the "Service Contract Act Directory of Occupations" (the Directory) should be used to compare job definitions to insure that duties requested are not performed by a classification already listed in the wage determination. Remember, it is not the job title, but the required tasks that determine whether a class is included in an established wage determination. Conformances may not be used to artificially split, combine, or subdivide classifications listed in the wage determination.

SECTION J

ATTACHMENT 4

***DOE ORDER 1322.1A, DATED 10-15-85  
UNIFORM REPORTING SYSTEM***

## SECTION J, ATTACHMENT 4

U.S. Department of Energy  
Washington, D.C.

ORDER  
DOE 1332.1A  
10-15-85  
Change 1: 6-12-92

SUBJECT: UNIFORM REPORTING SYSTEM

1. PURPOSE. To establish the Department of Energy (DOE) uniform reporting system for contracts, loans, and loan guarantees, and to provide implementing formats, forms, instructions, and procedures for information that is essential for effective management.
2. CANCELLATION. DOE 1332.1, UNIFORM REPORTING SYSTEM FOR CONTRACTORS, of 10-31-83.
3. SCOPE. The provisions of this Order apply to all Departmental Elements (except the Bonneville Power Administration) and participants performing work for the Department as provided by law and/or contractual agreement and as implemented by the appropriate contracting officer.
4. APPLICABILITY. Reporting, as follows, shall be limited to only that information essential for effective management and satisfaction of technical reporting requirements. This Order provides a compendium of standard forms, outlines, and procedures from which a program or project manager selects those plans and status reports applicable to a specific contractual agreement.
  - a. Type of Contractual Agreements. This Order applies to all loans and loan guarantees, interagency agreements, and contracts and subcontracts for work for the Department.
  - b. Existing Contractual Agreements. Revision of reporting requirements of existing contractual agreements to incorporate the provisions of this Order is not required. Revision of existing contractual agreements shall be at the discretion of cognizant program and project managers in concert with the contracting officer at time of renewal.
  - c. Management and Operating Contractors. DOE 5700.7C, WORK AUTHORIZATION SYSTEM, of 5-18-92, provides specific guidance with respect to the applicability of the uniform reporting system to management and operating contracts. DOE 5700.7C provides that the uniform reporting system plans and reports be used by operating and management contractors whenever management reports on work packages or tasks are required. The specific plans and reports to be used and their frequency are negotiated between the program manager, through the responsible DOE Field Office, and the contractor.
  - d. Duration. A contractor shall continue to furnish all required forms and reports to the project manager on a timely basis through contract close-out or, for loans and loan guarantees, until full repayment of the loan.
  - e. Exclusion. Reporting requirements for special research contracts are prescribed in Department of Energy Acquisition Regulations

(DEAR) 917.7109 and 917.7113, appendix B, article B-XXI.

## 5. REFERENCES.

- a. DOE 1340.1A, MANAGEMENT OF PUBLIC COMMUNICATIONS PUBLICATIONS, AND SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS, of 8-25-82, which prescribes policies, standards, and procedures for effective management of DOE publications.
- b. DOE 1360.4B, SCIENTIFIC AND TECHNICAL COMPUTER SOFTWARE, of 12-31-91, which establishes policies and procedures for the effective sharing of computer software developed by DOE for scientific, technical, and technology-related applications.
- c. DOE 1430.1C, MANAGEMENT OF SCIENTIFIC AND TECHNICAL INFORMATION, of 2-29-92, which defines DOE's responsibility for managing scientific and technical information developed in the Department's research and development programs.
- d. DOE 1430.2A, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT PROGRAM, of 12-14-87, which provides detailed guidance on scientific and technical information management.
- e. DOE 2200.4, ACCOUNTING OVERVIEW, of 3-31-88, which establishes DOE accounting policy, principles, and standards, and to explain the administrative control of funds, financial and cost accounting, and the financial reporting system in accordance with Government regulations and generally accepted accounting principles.
- f. DOE 2250.1D, COST AND SCHEDULE CONTROL SYSTEMS CRITERIA, of 6-12-92, which delineates the requirements and procedures for implementing uniform standards for assessing contractor cost and schedule control systems.
- g. DOE 4700.1, PROJECT MANAGEMENT SYSTEM, of 3-6-87, which establishes DOE's project management system and provides implementing instructions, formats, and procedures, and sets forth the principles and requirements which govern the development, approval, and execution of DOE's outlay program acquisitions as embodied in the Project Management System (PMS).
- h. DOE 5700.5, POLICY AND MANAGEMENT PROCEDURES FOR FINANCIAL INCENTIVES PROGRAMS, of 1-12-81, which establishes general policy guidelines for all authorized financial incentive programs.
- i. DOE 5700.7C, WORK AUTHORIZATION SYSTEMS, of 5-18-92, which provides a formal process for budget development, authorization, and monitoring DOE-funded research and development work performed by designated contractors at designated facilities, including multiprogram national laboratories.
- j. DOE 6430.1A, GENERAL DESIGN CRITERIA, of 4-6-89, which provides general design criteria (GDC) for use in the acquisition of the Department's facilities and to establish responsibilities and authorities for the development and maintenance of these criteria.
- k. Title 44 U.S.C., "Public Printing and Documents," of 10-22-68, which establishes legal requirements related to public printing and documents, including Government Printing Office and other agency efforts, for both in-house and contract efforts.

- l. Department of Energy Acquisition Regulations, Section 917.7109, "Reporting Requirements for Special Research Contracts With Educational Institutions," of 3-28-84.
- m. Department of Energy Acquisition Regulations, Section 917.7113, "Format for Special Research Contracts With Educational or Other Non-Profit Institutions," of 3-28-84.
- n. Title 5 CFR 1320, "Controlling Paperwork Burdens on the Public," which directs the identification and clearance of information collections levied on the public, including contractors, state and local government units, and persons who perform services for the Department on an individual basis.
- o. Title 10 CFR Part 1004.11, "DOE Freedom of Information Regulations," of 1-8-79, which establishes procedures concerning handling of documents containing information which may, by law, be exempt from disclosures, and establishes the methods used by the Department to respond to Freedom of Information requests.
- p. Title 41 CFR 101-11.11, "Interagency Reports Management Program," of 7-1-82, revised, which establishes an interagency; reports management program, describes policies, and promulgates standards, procedures, and techniques for the economical and efficient management of records of Federal agencies.

#### 6. DEFINITIONS.

- a. Borrower is an inclusive term for all agencies, governments, other organizations, and individuals receiving financial assistance in the form of a loan from, or a loan guarantee by, DOE.
- b. Contract is a mutually binding legal relationship obligating the seller to furnish property or nonpersonal services (including construction) and the buyer to pay for them.
- c. Contractor is any organizational entity or individual bound by a contract with DOE.
- d. Contractual Agreement is an inclusive term for all contracts, interagency agreements, loan agreements, and loan guarantee agreements.
- e. Interagency Agreement is a binding agreement with a Federal Government agency to provide funds, property, or services to DOE in exchange for funds, property or services.
- f. Loan is a disbursement of funds by DOE or other lender (not in exchange for goods or services) that is contracted to be repaid with or without interest; for example, a draw down against a loan made under either a loan agreement or loan guarantee agreement.
- g. Loan Guarantee is an agreement by which DOE pledges to pay part or all of the loan principal and interest to a lender or holder of a security in the event of a default by a third party borrower. The term also includes loans DOE has sold under guarantee or repurchase agreements.
- h. Participant is a DOE contractor, borrower, or party to an

interagency agreement.

7. BACKGROUND.

- a. Acquisition management through contracts, interagency agreements, or financial incentives requires an active DOE role during execution and generally requires that DOE participate in directing progress. This role requires review of participant plans and surveillance of participant progress. Participant reporting is a requisite to that surveillance.
- b. DOE 1332.1, UNIFORM REPORTING SYSTEM FOR CONTRACTORS, of 10-31-83, superseded DOE 1330.2, of 3-1-79, which established a reporting system to be used throughout the Department for new contracts issued after 2-1-79.
- c. This Order incorporates modifications based on knowledge and experience gained in using the above system, and integrates the uniform reporting system for contractors with financial incentives reporting while reducing reporting burden.

8. POLICY AND OBJECTIVES.

- a. It is the Department's policy to:
  - (1) Acquire uniform, timely, and valid information on schedule, labor, cost, and technical performance on contracts and financial incentives.
  - (2) Acquire information on a borrower's financial condition.
- b. The objectives of this Order are to:
  - (1) Provide the tools for obtaining essential management information.
  - (2) Establish uniform procedures, forms, and terminology for collecting and integrating the minimum data required to manage and monitor contractual agreements.
  - (3) Ensure that only those plans and reports that are essential to monitoring and managing the contractual agreement are required from participants.
  - (4) Meet the information needs of several organizations with minimum reporting requirements.
  - (5) Enable the detection of possible delays or excess costs early enough to resolve difficulties.
  - (6) Support reporting to higher management levels.
  - (7) Support approvals which may be required for periodic disbursement of funds pursuant to provisions of contractual agreements.

9. RESPONSIBILITIES AND AUTHORITIES.

- a. Program Secretarial Officers and Heads of Field Elements.



- (1) Implement the provisions of this Order in their individual areas of responsibility.
  - (2) Provide for the review and evaluation of proposed and selected reporting requirements to ensure that neither excessive nor inadequate reporting requirements are being levied on participants.
  - (3) Appoint an individual as a focal point to coordinate the requirements of this Order and furnish the appointee's name to the Office of Program/Project Management and Control (PR-20).
- b. Program Managers, for purposes of this Order, act as project manager when there is no project manager.
- c. Project Managers.
- (1) Become familiar with the intent and processes of this Order and of the references in paragraph 5, and ensure participant compliance with their intent.
  - (2) Determine the reporting requirements for each contractual agreement and choose only those plans and reports essential to effective management and satisfaction of technical and financial reporting requirements.
  - (3) Review, analyze, evaluate, and act on information obtained through the required plans and reports.
- d. Director of Procurement, Assistance and Program Management (PR-1), shall, through the:
- (1) Associate Director for Program/Project Management and Control (PR-20).
    - (a) Coordinates the implementation of this Order.
    - (b) Reviews all unique management reporting requirements in coordination with the major organization identifying such requirements.
    - (c) Authorizes data element definition revisions requested by the project manager.
    - (d) Implements the information collection and clearance requirements contained in Title 5 CFR 1320 as they apply to participants, their employees, and other members of the public from whom information is collected under the provisions of this directive.
  - (2) Associate Director of Procurement, Assistance and Property (PR-10).
    - (a) Ensures that all solicitations contain applicable uniform reporting system requirements either directly or by reference.
    - (b) Ensures that, where applicable, the contractual agreement includes the clause for incorporating the uniform reporting system requirements (page IV-4) and the

agreement package includes the "Reporting Requirements Checklist."

- e. Director of Professional and Technical Training and Development (AD-70) provides for the inclusion of uniform reporting system training in Department wide training programs, as appropriate.
- f. Director of Information Resources Management (AD-20), through the Director of Scientific and Technical Information (AD-21), ensures this Order contains the reporting requirements necessary to meet technical information needs.
- g. General Counsel (GC-1), on request of the project manager or contracting officer's technical representative, reviews scientific and technical reports to prevent premature disclosure of inventions before reports are released to the public.

BY ORDER OF THE SECRETARY OF ENERGY:

DONALD W. PEARMAN, JR.  
Acting Director  
Administration and Human  
Resource Management

## TABLE OF CONTENTS

CHAPTER I - INTRODUCTION	Page
1. General Description .....	I-1
a. System Process .....	I-1
Figure I-1 - Uniform Reporting System Process .....	I-2
b. Reporting Categories .....	I-3
Figure I-2 - Plan and Status Components .....	I-4
c. System Features .....	I-4
2. If the Cost and Schedule Control Systems Criteria Apply .....	I-5
a. Specification of Reporting Requirement .....	I-5
b. Borrowers .....	I-6
c. Application to Second Tier Participants .....	I-6
3. Notices .....	I-6
a. Confidentiality Statement .....	I-6
b. Government Printing Regulations .....	I-6
c. Applicability to Other Government Agencies .....	I-6
d. Authority .....	I-6
e. Compliance .....	I-6
f. Office of Management and Budget Clearance .....	I-6
CHAPTER II - DESCRIPTION OF PLANS AND STATUS REPORTS	
1. General .....	II-1
a. Format .....	II-1
b. Structure of Reporting Elements .....	II-1
Figure II-1 - Forms Included in Uniform Reporting System .....	II-2
Figure II-2 - Example Work Breakdown Structure .....	II-4
Figure II-3 - Reporting by Detail Level Work Breakdown Structure Element .....	II-5

Figure II-4 - Reporting By Summary Level Work Breakdown Structure Element .....	II-5
Figure II-5 - Reporting By Contract Line Item .....	II-6
Figure II-6 - Reporting By Cost Element .....	II-7
Figure II-7 - Reporting By Organization/Labor Element .....	II-7
Figure II-8 - Reporting By Construction Element .....	II-7
c. Depth of Detail .....	II-7
d. Standardization .....	II-8
e. Reporting by Budget and Reporting (B&R) Number .....	II-8
2. General Management Plans and Status Reports .....	II-8
a. General .....	II-8
b. The Management Plan .....	II-8
Figure II-9 - Management Plan Outline .....	II-9
Figure II-10 - Example Management Control Systems Description Outline .....	II-10
c. The Status Report .....	II-11
d. The Summary Report (DOE F 1332.2) .....	II-11
Figure II-11 - Example "Status Report" .....	II-12
3. Schedule, Labor and Cost Plans and Status Reports .....	II-13
a. General .....	II-13
b. Plans .....	II-13
Figure II-12 - Example Funding Status .....	II-13
Figure II-13 - Funding Status by Time Period .....	II-14
Figure II-14 - Example Cost Change Reconciliation ....	II-15
c. Reports .....	II-16
4. Exception Reports .....	II-17
a. General .....	II-17
b. The Conference Report .....	II-17
Figure II-15 - Example Conference Record .....	II-18
c. The Hot Line Report .....	II-19
5. Performance Measurement Plans and Status Reports .....	II-19
a. General .....	II-19
Figure II-16 - Example Hot Line Report .....	II-20
b. Plans .....	II-20
c. Reports .....	II-20
6. Financial Incentives Plans (Pro Formas) and Status Reports ....	II-21
a. General .....	II-21
b. Description of Plans and Reports .....	II-21
c. General Requirements .....	II-22
d. Specific Requirements .....	II-23
7. Technical Reports .....	II-24
a. General .....	II-24
b. Description of Reports .....	II-25
c. General Content .....	II-25
d. Specific Contents .....	II-26
Attachment II-1 - Contract Example .....	II-27

### CHAPTER III - SELECTING REQUIRED PLANS AND REPORTS

1. General .....	III-1
2. Reporting Requirement Considerations .....	III-1
a. General .....	III-1
b. Program Legislation, Federal Regulations, and DOE Guidance .....	III-1
c. Type of Contractual Agreement .....	III-1
d. Cost and Schedule Control Systems Criteria Application ....	III-2
e. Nature and Scope of Activity .....	III-2
f. Value of the Effort .....	III-2
g. Duration and Complexity of the Effort .....	III-2
h. Nature and Extent of the Risks Involved .....	III-2

i.	Significance of the Effort .....	III-2
j.	Information Requirements of Other DOE Offices .....	III-2
k.	Reporting Burden .....	III-2
l.	Performance Measurement .....	III-2
m.	Field Work Package Proposal and Authorization System Considerations .....	III-3
n.	Personal Knowledge of Technical Work .....	III-3
o.	Publication Practicability .....	III-3
3.	Report and Frequency Selection Tables .....	III-3
a.	General .....	III-3
b.	Contracts .....	III-3
c.	Financial Incentives .....	III-3
4.	Due Dates for Plans and Reports .....	III-4
a.	General .....	III-4
b.	Contracts .....	III-4
c.	Financial Incentives .....	III-4
5.	Special Requirements .....	III-4
a.	General .....	III-4
b.	Multiparticipant Projects .....	III-4
c.	Second Tier Participants .....	III-4
d.	Unique Reporting Requirements .....	III-4
	Figure III-1 - Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Firm Fixed Price Contracts .....	III-5
	Figure III-2 - Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Cost Type Contracts .....	III-6
	Figure III-3 - Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Interagency Agreements .....	III-7
	Figure III-4 - Selection Table for Performance Measurement Reports for Cost Type Contracts and Financial Incentives with CSCSC .....	III-8
e.	Shared Participation .....	III-8
	Figure III-5 - Selection Table for Technical Information Reports for All Contractual Agreements .....	III-9
	Figure III-6 - Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Financial Incentives .....	III-10
f.	Substitution of Alternative Reporting .....	III-11
g.	Consulting Services Contracts .....	III-11
	Figure III- 7 - Selection Table for Financial Reports for Financial Incentives .....	III-11
	Figure III-8 - Frequency Codes and Due Dates for All Contractual Agreements .....	III-12

#### CHAPTER IV - SPECIFICATION OF PLAN AND STATUS REPORT REQUIREMENTS

1.	General .....	IV-1
2.	Preparation of the Reporting Requirements Checklist .....	IV-1
a.	Content .....	IV-1
b.	Instructions .....	IV-1
c.	Approvals .....	IV-1
d.	Example .....	IV-1
3.	Preparation of Reports Distribution List and List of Addresses.	IV-1
a.	General .....	IV-1
	Figure IV-1 - Technical Report Distribution Guide (No. of Copies) for All Contractual Agreements ....	IV-2
b.	Contracts .....	IV-3
c.	Financial Incentives .....	

d. Technical Reports .....	IV-3
4. Inclusion of Reporting Requirements in the Solicitation and Contractual Agreement .....	IV-3
Figure IV-2 - Sample Clause for Incorporating Uniform Reporting System Requirements .....	IV-4
Attachment IV-1 - Example Reporting Requirements Checklist .....	IV-5

## CHAPTER I

### INTRODUCTION

1. GENERAL DESCRIPTION. The uniform reporting system addresses the reporting requirements for contracts and financial incentives (loans and loan agreements) and changes thereto. Also see DOE 5700.7C, WORK AUTHORIZATION SYSTEM, which covers reporting requirements for management and reporting contractors. The plans and reports provide the data essential to project management and for reporting to higher level management. In general, there is a basic process by which reporting requirements are identified by DOE, requirements are specified in the contractual agreement, and reports are provided by the participant. Although the system is built around common process, and some procedures are common to all contractual agreement types, some remain unique to a specific type. Because of the commonalities, integration of the reporting systems into a single system provides significant advantages both to DOE and to reporting participants. This chapter describes the process, the reporting categories, and the features of the system and their relationship to the Cost and Schedule Control Systems Criteria, and provides various administrative notifications.

a. System Process. Figure I-1 illustrates the major steps in the uniform reporting system. They are:

- (1) Identify Reporting Requirements. Before issuing a procurement request for a solicitation and after considering the information needs of other offices, the project manager identifies the reports that will be required from the participant in order to monitor the proposed work and manage proposed acquisitions.
- (2) Prepare "Reporting Requirements Checklist" (DOE F 1332.1). The applicant/proposer must include reporting costs in the application/proposal. To do so, the required plans and status reports, and the distribution to be made by the participant subsequent to award, must be identified in the solicitation. The project manager prepares the "Reporting Requirements Checklist" for this purpose (see Chapter IV of this Order). This checklist identifies which baseline plans and status reports should be submitted and their frequency of submission.
- (3) Prepare Detailed Guidance. The project office prepares detailed guidance for participant compliance with the reporting requirements. In attachments to the "Reporting Requirements Checklist," the project manager specifies when and to whom plans and reports should be submitted, the reporting elements to be used, and other special instructions. Any special reporting requirements specified in the program legislation or

regulations will also be identified in an attachment to the checklist.

- (4) Issue Solicitation. The contracting officer issues the announcement/request for proposal(s) containing the reporting requirements.

\*\*\*\* DATABASE NOTE:

ATTACHMENT OF FIGURE I-1 - UNIFORM REPORTING SYSTEM PROCESS (PAGE I-2)  
IS NOT INCLUDED IN DATABASE, DUE TO ITS FORMAT.

- (5) Applicant/Proposer Submits Proposal, Including Plans. The applicant/proposer submits the application/proposal containing the required uniform reporting system plans in accordance with the solicitation.
  - (6) Revise Checklist. The project manager revises the "Reporting Requirements Checklist" to reflect the negotiated reporting requirements.
  - (7) Let Contractual Agreement. The DOE contracting officer lets the contractual agreement containing the "Reporting Requirements Checklist" and attachments, and the related clause specifying the reporting requirements.
  - (8) Participant Performs Work and Submits Reports. The participant periodically distributes the uniform reporting system reports in compliance with the contractual agreement.
  - (9) DOE Assesses Reported Status. The project manager, the contracting officer, and the contracting officer's technical representative review submitted reports rejecting any used improperly, analyze status relative to plan and evaluate alternative problem solutions.
  - (10) DOE Determines and Directs Required Action. The project manager determines any management required redirection and implements any changes through the contracting officer.
  - (11) DOE Redirects Participant As Required. The contracting officer redirects participants as required by DOE management.
- b. Reporting Categories. Participants report two basic types of information, baseline plan and status. Plans establish baseline for the life of the contractual agreement against which progress can be measured. The "Management Plan" is the participant's plan for executing the proposed work and, if applicable, for the repayment of the loan. It contains the appropriate detail baseline plans. Status reports relate directly to given baseline plans and show participant progress as well as variances from plans. The narrative "Status Report" will address such variances. Performance measurement reports will be used for selected contracts. A number of reports are unique to financial incentives awards. Plans and reports have therefore been subdivided into sets of categories according to their purpose. Figure I-2 illustrates the relationship of the plan and status components of the reporting categories which are briefly described below:

- (1) General Management Reports summarize schedule, labor, and cost plans and status for rapid overview by senior managers, and provide appropriate narrative explanation of status variance from plan.
- (2) Schedule/Labor/Cost Reports provide information on schedule, labor, and cost plans and status to support appropriate analysis at the level of detail required by the contractual agreement.
- (3) Exception Reports inform DOE of any unusually significant events and document the participant's understanding of DOE/participant discussions.
- (4) Performance Measurement Reports provide information regarding the budgeted cost for work performed relative to the budgeted cost for work scheduled and the actual cost of work performed and provide for reporting data on performance measurement baseline maintenance and estimates at completion.
- (5) Financial Incentives Reports, including related forecasts submitted by a borrower on a regular basis, will be of the type ordinarily acceptable to independent auditors. Submission of these reports is essential for determining the soundness of the borrower's financial condition and protecting the Department's interest in any asset that serves as security for repayment of a loan for which DOE is either the lender or guarantor.
- (6) Technical Reports, submitted on both a regular and as-required basis, are the primary means by which DOE disseminates scientific, technical, and engineering information acquired in the performance of DOE-supported efforts to the Department's researchers and program managers, and, when appropriate, the general public.

\*\*\*\* DATABASE NOTE:

ATTACHMENT OF FIGURE I-2 - PLAN AND STATUS COMPONENTS (PAGE I-4)  
IS NOT INCLUDED IN DATABASE, DUE TO ITS FORMAT.

c. System Features. Primary features of the uniform reporting system are:

- (1) Standard Terminology. The use of uniform terminology and data elements minimizes ambiguity of meaning and intent.
- (2) Standard Specification of Reporting Requirements. A formal checklist is used to identify all uniform reporting system requirements at the time of award. DOE should discuss the requirements with the participant before the time of award to ensure that they are appropriate.
- (3) Standard Forms. This Order relies heavily on forms and procedures from DOE 1332.1, and simultaneously incorporates requirements associated with financial incentives awards. The use of standard forms encourages consistency in reporting to DOE.
- (4) Single Forms Source. All uniform reporting system forms are

available at DOE self-service supply stores and warehouses.

- (5) Standard Preparation and Submission. A participant in more than one contractual agreement will not be required to use different forms and formats to submit data for each agreement. A single DOE publication can provide preparation and submission guidance to all participants.
- (6) Standard Analysis. DOE and participant personnel will not have to analyze different reports serving the same purpose. A single DOE publication can provide analytical guidance to all.
- (7) Planning Baseline. The planning technique described in this Order is based on the concept of prescribing specific, quantifiable, and measurable baseline information. The information presented in the baseline plans is incorporated into the "Management Plan" included in applications and proposals, and subsequently provides a means for evaluating performance. This Order identifies planning forms which can be included in the application or proposal to present the planned results.
- (8) Flexible Reporting Methods and Applications. Flexibility has been built into the system to ensure that the information requested is relevant to the activity performed. The reporting system can accommodate a variety of programs and awards by allowing the project manager to tailor the reporting requirements to fit the activity.
- (9) Participant May Propose Alternatives. DOE prefers that the forms, formats, data elements, and procedures identified in this Order be used for reporting. However, the project manager may consider proposals for alternatives. The proposal should include a discussion of any proposed substitutions or changes in the reporting requirements and how they satisfy the report content requirement. The DOE contracting officer should coordinate such proposed substitutions with the project manager prior to finalizing the contractual agreement.
- (10) Single Reporting for Multiple Users. A participant submits information only once in each reporting period to serve all DOE needs.
- (11) Formal Problem Identification. The uniform reporting system provides participants with a formal methods for identifying and communicating problems.

## 2. IF THE COST AND SCHEDULE CONTROL SYSTEMS CRITERIA APPLY.

- a. Specification of Reporting Requirements. Performance measurement reports are normally required when the Cost and Schedule Control Systems Criteria of DOE 2250.1A are applied. However, the inclusion of the criteria in a solicitation or contractual agreement is not a requirement for submission of reports which are specified only by the "Reporting Requirements Checklist."
- b. Borrowers. The DOE performance measurement reports applicable to contractors may also be required from selected borrowers. Borrowers, accordingly, will generally be regarded as contractors for purposes of performance measurement reporting.



- c. Application to Second Tier Participants. Contractors to a participant may be selected for application of the criteria and/or for performance measurement reporting by mutual agreement between the participant and the DOE project manager, according to the criticality of the participant's contractor to the project.

### 3. NOTICES.

- a. Confidentiality Statement. Information required to be submitted under the various provisions of the uniform reporting system may be exempt from public disclosure pursuant to the provision of the Freedom of Information Act (FOIA) 5 U.S.C. 552, and the Trade Secret Act, 18 U.S.C. 1905. The DOE will determine whether any of the information submitted may be withheld from disclosure in accordance with the FOIA and the provisions of 10 CFR 1004, and protect the information to the maximum extent permitted by law. By statutory authority, the DOE must provide this information upon the request of Congress, a Committee of Congress, or the General Accounting Office.
- b. Government Printing Regulations. All reports described herein are subject to Title 44 of the U.S. Code and the Government Printing and Binding Regulations of the Joint Committee of the Congress of the United States. Additionally, all reports are subject to DOE 1340.1A.
- c. Applicability to Other Government Agencies. The reports herein have been cleared in accordance with 41 CFR 101-11.11.
- d. Authority. Reports listed herein are required in accordance with 42 U.S.C. 7256 and 40 U.S.C. 471 et seq. Failure to report as stated in contractual agreements may result in termination of the contractual agreement or other penalties as provided by law.
- e. Compliance. No reporting requirements may be levied by DOE on contractors or other elements of the "public" as defined in 5 CFR 1320 unless they have prior clearance under the provisions of 5 CFR 1320 and the Office of Management and Budget (OMB) clearance number (or exemption statement) is shown on the reporting requirement document and related forms.
- f. Office of Management and Budget Clearance. The collection of information requirements contained herein have been approved by the Office of Management and Budget (OMB No. 1901-1400). Action is underway within the Department to obtain the necessary subsequent clearances for this information collection in accordance with section 3504(h) of the Paperwork Reduction Act, 44 U.S.C. 3501, et seq., and procedures implementing that act, 5 CFR 1320.1, et seq.

## CHAPTER II

### DESCRIPTION OF PLANS AND STATUS REPORTS

- 1. GENERAL. This chapter describes plan and status report formats, alternative methods of structuring objectively measured reporting elements, and depth of planning and reporting detail. It then provides a brief discussion of the purpose and description of each of the plans

and reports in the following categories in the order shown below:

- o General Management
- o Schedule/Labor/Cost
- o Exception
- o Performance Measurement
- o Financial Incentives
- o Technical

Figure II-1 identifies plans and status reports included in the uniform reporting system by name and number within each category, and identifies the type of contractual agreement(s) for which each may be used.

Financial incentives plans and status reports are unique to their respective types of contractual agreements. Interagency agreements do not utilize performance measurement reports or financial incentives reports. Examples of plans and status reports completed on standard forms are included in Attachment II-1.

- a. Format. Except for financial incentives reports, this Order provides standard forms and narrative formats for presentation of baseline plans and status reports. A suggested outline is provided for narrative plans and status reports. Detailed instructions for the preparation of plan and report forms appear on the reverse of each form. This chapter includes a set of reports used for an example contract. Financial incentive reports should follow the standard formats described in paragraph 6 on page II-21.
- b. Structure of Reporting Elements. There are five basic structures for reporting data: work breakdown; line item; cost element; organization/labor element; and construction element. Reporting by work breakdown structure is the preferred method for management reporting.

(1) Work Breakdown Structure.

- (a) The participant work breakdown structure organizes the products of the work efforts into a hierarchy of elements starting from the overall objective(s) or end product(s) in the statement of work, and proceeding through successive levels to elements at the lowest level of detail required for effective management. This establishes a framework for assigning responsibilities, delineating subobjectives, uniform planning and status visibility required to accomplish the contractual agreement objectives. The project manager may require some participants to describe a complete work breakdown structure in the "Management Plan" submitted with the proposal. Participant reporting to DOE, however, is usually required for only the top three levels of the work breakdown structure applicable to the contractual agreement, but may be required at lower levels for critical elements. Figure II-2 presents an example work breakdown structure for a contract. Additional guidance on the work breakdown structure technique is found in DOE/MA-0040, "Work Breakdown Structure Guide."
- (b) The scope and complexity of the contractual agreement influences the number of levels required. Each descending level represents an increasingly detailed definition of the work elements. Level 1 is the goal or objective of the contractual agreement in its entirety. Level 2 consists of the major work products necessary for achieving the goals of the contractual agreement. Level 3

outlines the major element segments (subsystems) necessary for completing level 2 elements. Work breakdown structure elements are identified by name and number from a progressive, alphanumeric system.

\*\*\*\* DATABASE NOTE:

ATTACHMENT OF FIGURE II-1 - FORMS INCLUDED IN UNIFORM REPORTING SYSTEM (PAGE II-2 AND II-3) AND FIGURE II-2 - EXAMPLE WORK BREAKDOWN STRUCTURE (PAGE II-4) ARE NOT INCLUDED IN DATABASE, DUE TO THEIR FORMATS.

- (c) Figure II-3 shows reporting by detail level work breakdown structure elements. Figure II-4 is structured by major elements used in summary level plans and reports.
- (2) Line Item reporting is based on the items required by the statement of work, such as an item or product to be delivered or a major milestone. Line item reporting is an appropriate substitute for work breakdown structure reporting where the product of the contractual agreements is simple or straightforward. Figure II-5 shows the structure of an example line item report.
- (3) Cost Element reporting is based on subdivisions of direct and indirect costs including, for example, direct labor, materials, subcontracts, and overhead. Figure II-6 shows the structure of an example cost element report.

8. Element Code	9. Reporting Element	8. Element Code	9. Reporting Element
1.1.1	Land & Improvements	1.1	Site and Buildings
1.1.2.1	Foundations & Substructures		
1.1.2.2	Superstructure & Finishes	1.2	Utilities
1.1.2	Foundations & Superstructure		
1.1	SUBTOTAL: Site and Buildings	1.3	Equipment
1.2.1	Sewage		
1.2.2	Water	1.4	Systems Integration
1.2.3	Electrical		
1.2.4	H.A.C.	1.0	Subtotal: Pilot Unit
1.2	SUBTOTAL: Utilities		
1.3.1	Instrument & Controls		G&A
1.3.2	Fuel Equipment		
1.3.3	Waste Handling		Cost of Money
1.3.4	Fire Protection		
1.3	SUBTOTAL: Equipment		Management Reserve
1.4.1	Test and Evaluation		
1.4.2	Project Management		Fee
1.4.3	Data		
1.4.4	Training	B&R	EC 03 04
1.4	SUBTOTAL: Sys. Integration	B&R	EC 05 08
1.0	SUBTOTAL: Pilot Unit		
	G&A		
	Cost of Money		
	Management Reserve		
	Fee		

B&R	EC 03 04		
B&R	EC 05 08		
-----		-----	
14. Total		14. Total	

Figure II-3  
Reporting by Detail  
Level Work Breakdown  
Structure Element

Figure II-4  
Reporting by Summary  
Level Work Breakdown  
Structure Element

8. Element Code	9. Reporting Element	8. Element Code	9. Reporting Element
-----		-----	
1.	Banking Cycle Experiment		Labor
2.	Final Report		Material
3.	Travel		Equipment
B&R	BA 01 01		Subcontract
B&R	BA 02 02		Other Direct Costs
			SUBTOTAL: Direct
			Overhead
			G&A
			Cost of Money
			Management Reserve
			Fee
		B&R	EC 03 04
		B&R	EC 05 08
-----		-----	
14. Total		14. Total	

Figure II-5  
Reporting by Contract Line Item

Figure II-6  
Reporting by Cost Element

- (4) Organization/Labor Category reporting is based on reporting by corporate structure or organization element such as office or division starting from the highest level of detail to the lowest necessary management level or by labor category such as scientist, engineer, or technical editor. Figure II-7 shows the structure of an example organization/labor category report.
- (5) Construction Element Reporting provides a set of reporting elements for budget planning and for monitoring construction contracts. The elements are: conceptual design; preliminary design (Title I); definitive design (Title II); inspection (Title III); construction (by major activity); procurement (value of purchase orders placed and received); and management reserve (as a separate reporting data element). (See DOE 6430.1A and DOE/MA-0087.) Figure II-8 shows an example structure for a construction element report.

8.	9. Reporting Element	8.	9. Reporting Element
----	----------------------	----	----------------------

Element Code		Element Code	
1.0	Engineering	1.0	Engineering
1.1	Manufacturing		Title II Definitive Design
1.2	Tooling		Title III Inspection
1.3	Quality Assurance		
1.4	Management & Administration	2.0	Procurement (Non-Add)
			Purchase Orders Placed
			Orders Received
		3.0	Construction
			Site Preparation
			Facilities
			Equipment
			Overhead
			G&A
			Cost of Money
			Management Reserve
			Fee
		B&R	EC 03 04
		B&R	EC 05 08
14. Total		14. Total	

Figure II-7  
Reporting by Organization/  
Labor Element

Figure II-8  
Reporting by Construction  
Element

- c. Depth of Detail. The more distant the time period covered by planning data, the more difficult it is to plan details realistically, and the less will be the present value of any resulting management decision relating to that data. In addition because of the amount of certainty in an activity it is possible to plan near term work in greater detail than far term effort. DOE has, therefore, adopted an approach to planning that presents greater detail in the current time frame and less in later time frames (the "rolling wave" effect). The project manager should also carefully consider the level of detail required in status reporting. Some reports may require greater detail than others. In general, the savings which DOE management expects to produce from one additional item of information required must exceed the expected cost of obtaining, analyzing, and retaining that item of information. There is, for example, a significant cost involved in investigating and reporting a large number of variances at a low level.
- d. Standardization. Each plan and report must have the same element codes and reporting elements. For each reporting element, the participant shall provide an element code and descriptive name. There should be only one element per report line. Elements of work reported as subtotals shall be listed under the related subelements. The total or subtotal for the element shall be specified as shown in Figure II-3. The project manager should coordinate with the

participant and the cognizant finance office to ensure that all parties are using the same time frames and data definitions for cost and financial data.

- e. Reporting by Budget and Reporting Number. In each plan and report, the costs should also be reported by budget and reporting (B&R) number. If multiple budget and reporting numbers are associated with a contractual agreement, the project manager will ensure that the correct procedure is employed for allocating planned and actual accrued costs among them.

## 2. GENERAL MANAGEMENT PLANS AND STATUS REPORTS.

- a. General. One plan and two reports are directed to overall management planning and summary reporting. The overall "Management Plan" provides both the participant and the project manager with a baseline against which status can be measured. One of the reports provides narrative discussion of schedule, labor, cost, and technical status relative to the plan, with emphasis on those events and actions which have resulted, or may in the future result, in variances from the plan. All contractual agreements may require one or more of the general management plans and reports briefly described in the following sections.
- b. The "Management Plan" describes the participant's approach to performing the effort and producing the products identified in the contractual agreement, and the technical, schedule, cost, and financial management control systems to be used to manage that performance. The "Management Plan" is commonly required as part of the proposal and becomes a binding part of the contractual agreement. The content and level of detail in the "Management Plan" vary with the types of contractual agreement and the nature of the work involved; however, they must be sufficiently comprehensive to describe the planned execution, management, and results of the work. The participant may attach existing materials (e.g., company personnel management procedures) as appropriate. Figure II-9 shows an example "Management Plan" outline which should be modified and applied as appropriate to specific applications. The plan should include:
  - (1) A brief consolidated executive summary permitting general management to quickly comprehend the most significant components of the plan. This summary should be sufficient to present a comprehensive overview of the project and should stress the logical interrelationships among the significant planned components.

MANAGEMENT PLAN	
I.	EXECUTIVE SUMMARY
II.	INTRODUCTION/BACKGROUND
III.	PLANNED ACCOMPLISHMENTS
	A. Technical                      C. Cost
	B. Schedule                      D. Financial
IV.	MANAGEMENT SYSTEMS AND CONTROLS DESCRIPTION
	A. General                      D. Accounting

	B. Organization	E. Analysis
	C. Planning and Budgeting	F. Revisions and Data Access
V.	TECHNICAL SYSTEMS AND CONTROLS DESCRIPTION	
	A. System Engineering	E. Environmental Engineering
	B. Configuration Management	F. Data Processing
	C. Quality Assurance	G. Other
	D. Safety Engineering	
VI.	ADMINISTRATIVE SYSTEMS AND CONTROLS DESCRIPTION	
	A. Security	F. Data Processing
	B. Health and Safety	G. Property Management
	C. Personnel	H. Subcontractor Controls
	D. Legal	I. Other
	E. Procurement	
VII.	FINANCIAL SYSTEMS AND CONTROLS DESCRIPTION	
	(For Financial Incentives)	
	A. Income	G. Payables
	B. Expense	H. Other Current Liabilities
	C. Cash	I. Long-Term Liabilities
	D. Inventory	J. Equity
	E. Receivables	K. Other
	F. Fixed Assets	

Figure II-9  
Management Plan Outline

- (2) A brief introduction including a background (e.g., legislative, scientific, sociological, and historical) that demonstrates the participant's understanding of the problems, both management and technical, associated with the proposed effort.
- (3) An overall description of planned accomplishments, including technical, schedule, cost, and financial results, and how they interrelate. When required, the "Work Breakdown Structure Dictionary" and the "Management Control Systems Description" normally required under CSCSC will be included in this section. (For an example of the "Work Breakdown Structure Dictionary," see pages II-47 and II-49.)
- (4) A description of the management systems employed to control cost and schedule performance, including a discussion of the organizational components responsible for cost and schedule management, and an explanation of planning, budgeting, accounting, and analytical procedures and systems. A detailed outline which may be used is shown in Figure II-10.

A. GENERAL	D. ACCOUNTING
1. Company Policy for Cost/Schedule Performance	1. Procedures
2. Administration of Policy	2. Elements of Cost
3. System Summary	3. Material Cost Control
	4. Purchase Order System
B. ORGANIZATION	5. Data Base Description
	6. Recurring/Nonrecurring Costs
1. Contract Work Breakdown Structure	7. Overhead Procedures

Development Procedure	8. Data Reconciliation
2. Project Organizational Structure and Responsibility	E. ANALYSIS
3. Integration of Contract Work Breakdown Structure With Organizational Structure	1. Earned Value Meaning, Calculation, and Use
4. Integration of Planning, Scheduling, Budgeting, Work Authorization, and Data Accumulation Systems	2. Comparison of Actual Versus Planned Performance
5. Subcontract Identification and Control	3. Variance Analysis Procedures
	4. Estimate at Completion Derivation
C. PLANNING AND BUDGETING	F. REVISIONS AND ACCESS TO DATA
1. Work Authorization	1. Baseline Maintenance
2. Schedule Development and Control	2. Change Incorporation
3. Cost Account/Work Package Development and Planning	3. Internal Replanning
4. Establishment of Performance Measurement Baseline	4. Formal Reprogramming
5. Overhead Planning and Budgeting	5. Internal and External Reporting Procedures
6. Management Reserve Control	6. Systems Surveillance
7. Undistributed Budget Control Procedures	

Figure II-10  
Management Control Systems Description Outline

- (5) A description of the technical support systems and controls employed to enable and control the planned technical results, including systems engineering, configuration management, quality assurance, safety engineering, environmental engineering, data processing, and any other systems, as applicable.
  - (6) A description of the administrative support system's and controls employed to facilitate execution of the contract. The description should include an overview of those systems that support general corporate efforts but which are not dedicated to specific project activities.
  - (7) For loans and loan guarantees, a description of the financial support systems and controls employed to ensure accomplishment of planned financial results, including income, expenses, cash, inventory, receivables, fixed assets, payables, current and long-term liabilities, equity, and any other applicable items.
- c. The "Status Report" is the participant project manager's concise narrative assessment of the status of the work being performed under the contractual agreement. DOE management uses the report to monitor status and to provide early recognition of potential problem areas. The report highlights changes to objectives, changes to technical approach, task variances from baseline in excess of stipulated thresholds by reporting element, causative factors, and actions taken or proposed to resolve them, as well as factors with potential for causing significant variances in the future. Task progress may also be highlighted. The report next identifies open items requiring action by DOE or the participant. The report also



provides a summary assessment of the current situation, including a forecast of the near future and the expected impact on project accomplishment. The report may be accompanied by attachments. For contracts, the report includes, as attachments, funding status, funding by time period, and a cost change reconciliation. Figure II-11 shows an example of the narrative section of a completed "Status Report" in standard format. Figures II-12, II-13, and II-14 show completed examples of the attachments.

- d. The "Summary Report" (DOE F 1332.2) provides a concise, top level summary of schedule, labor, and cost performance against the baseline plans. Most data are presented graphically. The format permits rapid visual comparison of schedule, labor, and cost data. There are three segments: a cost status graph, a labor status graph, and a milestone chart. The cost and labor graphs are cumulative presentations. Planned and actual numerical data presented are for the periods specified. Labor and cost variances are shown on a monthly and a cumulative basis. An example of a completed "Summary Report" for a contract is shown on page II-28.

CONTRACT TITLE AND NUMBER:	November 5, 1982
Energistic Pilot Unit	Report No. EPU 82-12
DE-AC01-82HQ21347	Report Period: 10-1-82 - 10-31-82
CONTRACTOR NAME: BKVS Inc.	
3000 Construction Blvd.	
Anyplace, VA 22299	
CONTRACT PERIOD: 10-1-81 - 6-15-85	
1. CONTRACT OBJECTIVE: No change.	
2. TECHNICAL APPROACH CHANGES: No change to technical approach	
3. CONTRACT (By Reporting Element)	
1.1 -- Site and Buildings. As of the end of the reporting period, this task was slightly behind schedule and experiencing a cumulative overrun to plan of \$1,190,000. Poor weather has been a recent instrumental factor for this situation; however, previously reported engineering problems in both Land and Improvements (1.1.1) and Foundation and Substructure (1.1.2.1) have been the major contribution to the cumulative cost overrun. Additional labor has been planned to bring the activity back on schedule. Estimate to complete this activity is that all structures will be completed on schedule with a final overrun to plan of \$560,000. The Foundation and Substructure task is currently 3% behind schedule.	
1.3 -- Equipment. Further schedule slippages are due to rework required by failure to meet seismographic test criteria in subtask 1.3.1, Instrumentation and Control. This has added to the cumulative behind schedule and cost overrun conditions created by the engineering problems earlier in the calendar year, which have virtually been resolved. As of now, no schedule delay is forecast to other activities. Vendor savings not forecast in other equipment areas may help to offset the existing cost deficit; by the next report we will have estimated some savings in this area due to changes to equipment vendors which offer more competitive prices.	

1.4.1 -- Systems Test and Evaluation. Overrun to date of \$520,000 primarily caused by test failures explained above and overtime.

1.4.3 -- Data. A slight overrun to planned costs (current month and cumulative) caused by delivery of additional data requested by the customer in advance.

4. OPEN ITEMS: None

#### 5. SUMMARY STATUS ASSESSMENT AND FORECAST:

Management reserve funds in the amount of \$10,000,000 were spread this month into the FY 83 baseline budgets. Changes were necessitated primarily to recover the existing schedule deficit and to compensate for the new union contract which raised direct labor rates (discussed in preceding "Status Report" and in the "Hot Line Report" of 10-5-82). Considering the numerous engineering programs faced in the early phases the overall project is considered to be healthy from a cost, schedule, and technical standpoint. Additional high grade engineering manpower has been directed from other projects into the Instrument and Control area in a continuing effort to maintain schedule. This has, of course, resulted in increased costs to date, but has not affected efforts in other areas. The current behind schedule conditions in Site and Buildings should be corrected by March 1983. The current behind schedule condition in the Equipment area is primarily in subcontracts. Corrective actions cited by our subcontractors are being carefully monitored.

Attachments:	Funding Status	
	Funding Status by Time Period	C.M. Doo
	Cost Change Reconciliation	Project Manager

Figure II-11  
Example Status Report

1. Report- ing Element	2. Funding Author- ized Date	3. Accrued Cost & Out- standing Commit- ments	4. EAC Authorized Work	5. Forecast Not Yet Author- ized	6. Fore- cast All Other Work	7. Total Funding Require- ments	8. Funds Carry- Over	9. Net Funds Re- quired
TOTAL (Thou- sands)	230,220	108,670	306,204	0	0	306,204	0	306,204

#### INSTRUCTIONS

Columns (1) and (2) are self-explanatory. Column (3) shows the accrued cost incurred through the end of the reporting period plus commitments outstanding on that date. The date in column (4) equal the value on which the contractual agreement has been reached plus the estimate of funds required for work which has been authorized but for which no contractual agreement has been reached. Column (5) provides an estimate of funds required for changes which have been proposed, but which have not yet been authorized. Column (6) shows any funds for additional work

not yet authorized, but anticipated to be performed and for which the contractor plans to submit a proposal expected to be acceptable to the DOE project manager. The funding requirements shown in columns (4), (5), and (6) become progressively more uncertain, with the total shown in column (7). Column (8) provides the dollar value to which incrementally funded contracts had funds in excess of prior years' requirements which, when subtracted from the value in column (7) provide the funds requirements shown in column (9). Where appropriate, columns (2) through (9) include fee.

Figure II-12  
Example Funding Status

### 3. SCHEDULE, LABOR, AND COST PLANS AND STATUS REPORTS.

- a. General. There are five formats for schedule, labor, and cost plans, and three for schedule, labor, and cost reports. Detailed preparation instructions appear on the reverse side of the forms.
- b. Plans. Schedule, labor, and cost plans provide milestone, labor, and cost data for the time frame of the contractual agreement. They are incorporated in the "Management Plan" and serve as the basis for assessment of progress.
  - (1) The "Milestone Schedule Plan/Status Report" (DOE F 1332.3) is a dual purpose form to be used first as a baseline plan and then as a status report. When used as the "Milestone Schedule Plan," it establishes the contractor's time schedule for accomplishing the planned events and milestones for each reporting category identified in the contract. It encompasses each line item, task, or work breakdown structure element required by the contractual agreement for inclusion in the plan. Standard symbols and charting conventions described on the reverse side of the form are used to chart the intermediate events and milestones of each reporting category. A "Milestone Log," which is included as an attachment to the "Milestone Schedule Plan/Status Report," lists intermediate events and critical milestones with the element code (such as 1.2.1A), descriptive name of the event or milestone, and the scheduled date of completion. An example baseline "Milestone Schedule Plan" and a companion "Milestone Log" for a contract are shown on pages II-30 and II-32, respectively.

ITEM	(A)	(B)				(C)
	ACTUAL TO DATE	SELECTED PERIOD (MODIFY)				AT COMPLETION
		Fiscal Year 1983				
		Balance				
		Nov. 82	FY 83	FY 84	FY 85	
1. Accrued Cost	108,670	15,641	110,941	53,901	15,011	304,164
2. Outstanding Commitments	0	0	0	0	0	0
3. Total	108,670	15,641	110,941	53,901	15,011	304,164

4. Termination Costs	--	--	--	--	--	--
5. Forecast of Billing to the Government	108,670	15,641	110,941	53,901	15,011	1/ 304,164

1/  
Final figures do not include unscheduled management reserve funds of \$2,040.

All dollars in thousands.

INSTRUCTIONS. Data entered in column (A) will be actual to date. Remaining columns are estimates. Columns in (B) represent monthly, quarterly, or fiscal year estimated costs as presented by the contractor. Row (1) shows actual or estimated accrued costs as appropriate for each column. Row (2) contains actual or estimated outstanding commitments at end of period, as appropriate for each column. Row (3) is the total of rows (1) and (2). Row (5) contains the actual or estimated billings to the Government at end of period, as appropriate for each column. All data items include fee. The row (3), column (C) entry should be identical with the row (5), column (C) entry, and with item (7) in the Funding Status report. Row (4), "Termination Costs" should be completed in the event of contract cancellation.

Figure II-13  
Funding Status by Time Period

Report Date: 11-20-82	
CONTRACT NUMBER: DE-AC01-82HQ21347	
ORIGINAL CONTRACT VALUE:	\$239,244,000
SUPPLEMENTAL AGREEMENTS:	
Nos. 1-12	\$ 37,750,000
No. 13	\$ 1,280,000
No. 14	\$ 640,000
No. 15	\$ 14,200,000
No. 16	\$ 7,670,000
No. 17	\$ 3,890,000
SUBTOTAL	\$ 65,430,000
PRESENT CONTRACT VALUE	\$304,674,000
Changes Authorized but Not Finalized	0
Anticipated (Over) or Underrun	(1,530,000)
SUBTOTAL	1,530,000
CONTRACTOR ESTIMATE	\$306,204,000

Changes Under Consideration but Not Authorized	0	
Changes To Be Proposed	0	
SUBTOTAL		0
TOTAL FUNDS REQUIRED		\$306,204,000

Figure II-14  
Example Cost Change Reconciliation

- (2) The "Labor Plan" (DOE F 1332.4) establishes the planned utilization of labor for the term of the contract and addresses the total labor to be utilized to perform the agreed work. It itemizes labor requirements for prior fiscal years, the current fiscal year by month, and future fiscal years until contract completion. A completed example of a "Labor Plan" - Detail By Work Breakdown Structure Element - is shown on page II-33.
- (3) The "Facilities Capital Cost of Money Factors Computation" (DOE F 1332.5) is used by the contractor to accumulate total facilities capital net book values allocated to each business unit for the cost accounting period and convert those values to facilities capital cost of money factors applicable to each overhead or general and administrative expense allocation base employed within a business unit. This report identifies the applicable cost of money rate and displays the accumulation and direct distribution of net book value, the allocation of undistributed net book value, their total, the cost of facilities capital money for the accounting period, the allocation base for the period, and the calculated facilities capital cost of money factors. A completed example is included on page II-35.
- (4) The "Contract Facilities Capital and Cost of Money" (DOE F 1332.6) facilitates computation of the estimated facilities capital to be used for a specific contract proposal, using the data developed on the "Facilities Capital Cost of Money Factors" form. This form provides for the evaluation of the cost of money computation employed in the overhead pools allocated to the contract. The Federal Acquisition Regulations, subpart 31.205-10, addresses applicability and provides further explanation. Allocated example is shown on page II-37.
- (5) The "Cost Plan" (DOE F 1332.7) establishes the plan for accruing total costs for the life of the contractual agreement. The time-phased baseline plan establishes the basis for the measurement of actual cost accumulation and provides basic information for updating and forecasting budget requirements. The "Cost Plan" itemizes accrued costs for prior fiscal years, the current fiscal year by month, and future fiscal years until completion of the contractual agreement. A completed "Cost Plan" - Detail by Work Breakdown Structure Element - is shown on page II-39.

c. Reports. Schedule, labor, and cost status reports provide

milestone, labor, and cost data to date as well as projections of future progress. Variances from plan in excess of predetermined thresholds are discussed in the "Status Report."

- (1) The "Milestone Schedule Plan/Status Report" (DOE F 1332.3) is a dual purpose form. As the "Milestone Schedule Status Report" it measures the completion status of activities and events shown on the baseline "Milestone Schedule Plan" and shows planned and accomplished events and milestones, and changes in schedule. It addresses each item, task, or work breakdown structure element required by the contractual agreement at the same level of detail as the baseline plan. A completed example of the "Milestone Schedule Status Report," accompanied by a "Milestone Log," is shown on pages II-41 and II-42.
- (2) The "Labor Management Report" (DOE F 1332.8) is a periodic report of the status of labor resource utilization to be compared with the "Labor Plan." Both DOE and participant management use it for monitoring, controlling, and replanning allocation of labor resources. This form contains actual labor expended for the reporting and prior periods and estimates of labor usage for the remainder of the fiscal year and the balance of the effort. A completed example of a "Labor Management Report" - Detail by Work Breakdown Structure Element - is shown on page II-43.
- (3) The "Cost Management Report" (DOE F 1332.9) is a periodic report of the cost status of the contractual agreement to be compared with the "Cost Plan." Both DOE and participant management use it for monitoring, controlling, and planning allocation of dollar resources. This form contains actual cost status for the reporting and prior periods, and estimates of dollar costs for the remainder of the fiscal year and the balance of the effort. A completed example of a "Cost Management Report" - Detail by Work Breakdown Structure Element - is shown on page II-45.

#### 4. EXCEPTION REPORTS.

- a. General. There are two types of exception reports, the content of which normally relates to plans discussed elsewhere. All contractual agreements may require both of these reports, which are described briefly in paragraphs 4b and 4c.
- b. The "Conference Record" documents for the DOE project manager, DOE contracting officer, and the participant an understanding of significant decisions, direction or redirection, or required actions resulting from meetings with DOE representatives. It is required for any meeting, conference, or phone conversation in which a decision is made that may change the schedule, labor, cost, or technical aspects of the contractual agreement or the approved baseline plans. Figure II-15 shows a completed example of a "Conference Record." The report shall contain the following information as applicable:
  - (1) Report title ("Conference Record"), number, and the date prepared.
  - (2) Contractual agreement identification and number, and the participant's name and address.

CONFERENCE RECORD

No.: EPU-CR-29

Date: 10-29-82

IDENTIFICATION TITLE AND NUMBER: Energistic Pilot Unit  
DE-AC01-82HQ21347

PARTICIPANT NAME AND ADDRESS: BKVS Inc.  
3000 Construction Blvd.  
Anyplace, VA 22299

MEETING DATE: 10-26-82

PARTICIPANTS: J.A. Smith, DOE Project Manager  
M.A. Walsh, DOE Contracting Officer's Technical  
Representative  
A.M. Lawton, DOE General Counsel  
C.M. Doo, Project Manager, BKVS  
J.S. Doe, A/E Representative, BKVS

SUBJECTS DISCUSSED:

- a. HR 201920 Virginia - Use of Watersheds.
- b. Environmental impacts of HR 201920.
- c. Continuation of site work pending resolution of legalities.

DECISIONS REACHED:

- a. DOE/BKVS to present Environmental Impact Statement for protection of Watershed and alternatives, pending appropriate contract modification; this task to be assigned to Work Breakdown Structure Element 4.2 (Program Management).
- b. Construction of buildings to cease, effective 12-1-82, if legal issues not resolved.

DIRECTIONS GIVEN:

BKVS to revise Work Breakdown Structure, Cost, Labor, and Milestone Schedule Plans to the extent necessary to incorporate impact of HR 201920.

VARIANCES FROM PRIOR DIRECTIONS AND CONCLUSIONS:

Additional task added for Environmental Impact Statement pending completion of Contract Modification. Significant Cost and Schedule changes will occur if stop work order issued on 12-1-82.

REQUIRED ACTIONS:

- a. Exemption to be explored through DOI by DOE.
- b. DOE to authorize modification to incorporate changes required by HR201920 Virginia.
- c. BKVS to revise Environmental Impact Statement incorporating watershed protection.
- d. BKVS to revise plans (Cost, Labor, Schedule) for accomplishing additional task.

C. M. Doo  
Project Manager

Distribution

Ralph Richards, DOE Office of Procurement Operations, MA-452  
J.A. Smith, DOE Office of Special Projects, MA-22.1  
M.A. Walsh, DOE Office of Special Projects, MA-22.2  
A.M. Lawton, DOE Office of General Counsel, 6A-245  
J.S. Doe, A/E Representative, BKVS

Figure II-15  
Example Conference Record

- (3) Date of meeting or telephone conversation, with a list of those involved and their titles.
- (4) Subject(s) discussed, decisions reached, and directions given.
- (5) Variances from previous directions and conclusions.
- (6) Required actions.
- (7) Distribution.
- (8) Signature of Preparer.

c. The "Hot Line Report" is essentially an expedited "Conference Record." Identification as a "Hot Line Report" serves notice at each link in the delivery chain that speed in handling is required. Unless otherwise agreed by the parties involved, DOE is expected to take action and respond in a similarly speedy manner. These reports may be used to report a major breakthrough in research, development, or design; an event causing a significant schedule slippage or cost overrun; achievement or failure to achieve an important technical objective; or any requirement for quickly documented direction or redirection. The report is submitted by the most rapid means available, usually electronic, and should confirm telephone conversations with DOE representatives. An example "Hot Line Report" is shown in Figure II-16. The report should include:

- (1) Participant's name and address;
- (2) Contractual agreement identification and number;
- (3) Date;
- (4) Brief statement of problem or event;
- (5) Anticipated impacts; and
- (6) Corrective action taken or recommended.

5. PERFORMANCE MEASUREMENT PLANS AND STATUS REPORTS.

a. General. The importance and complexity of major system acquisitions and major projects require assurance that the participant employs effective Management control on contracted work. On selected contracts supporting such projects, the project manager



contractually applies the cost and schedule control systems criteria in compliance with DOE 2250.1A. Other contracts may similarly benefit from criteria application. The performance measurement plans and reports are normally required of a contractor when the criteria are applied to a contract. They may also be required on other contracts.

TWX	October 5, 1982
TO:	Department of Energy Mr. M. A. Walsh Office of Special Projects (MA-22.2) Washington, DC 20585
FROM:	C. M. Doo BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299
SUBJECT:	Hot Line Report, No. EPU 82-7, Labor Negotiations
REF:	Energetic Pilot Unit, DE-AC01-82HQ21347
<p>As discussed in our conversation of this morning, October 5, 1982, negotiations have been completed with various subcontractors resulting in successful contract and ratification, thus averting a strike. We anticipate that use of management reserve funds will be required to compensate for added costs resulting from increase in direct labor costs.</p>	

Figure II-16  
Example Hot Line Report

- b. Plans. A Work Breakdown Structure Dictionary and a Management Control Systems Description are normally required of a contractor as part of "The Management Plan" when the cost and schedule control systems criteria are applied to a contract. See paragraphs II.b.(3) and II.b.(4), respectively, and referenced figures.
- c. Reports. The "Cost Performance Report" consists of three formats (DOE F 1332.12, DOE F 1332.13, and DOE F 1332.14) that contain integrated cost/schedule data for measuring contractor performance. The "Cost Performance Report" compares the budgeted cost for work performed with the budgeted cost for work scheduled and with the actual cost of work performed to determine schedule and cost variances, both expressed in dollars. It is important to establish reasonable thresholds for variances that require contractor explanation in the "Status Report" (Figure II-10).
  - (1) "Cost-Performance Report" - Work Breakdown Structure (Format 1) (DOE F 1332.12) is used to report cost and schedule performance by work breakdown structure element. The level of detail to be reported is left to the discretion of the project manager and is subject to negotiation. Usually this is limited to level 3 of the contractor work breakdown structure. Reporting at lower levels of the work breakdown structure may be required for critical activities. A completed copy of this format is shown on page II-51.

- (2) "Cost Performance Report" - Functional Categories (Format 2) (DOE F 1332.13) is used to report cost and schedule performance in accordance with the contractor's internal organizational structure. The totals on this report are consistent with the totals in Format 1. Format 2, in conjunction with Format 1, provides a two-dimensional view of the contractor's cost and schedule performance. A completed copy of this format is shown on page II-53.
- (3) "Cost Performance Report" - Baseline (Format 3) (DOE F 1332.14) is intended to assist project managers in monitoring baseline changes which result from contract changes or internal replanning (including the use of management reserve budget). The format provides a monthly update of the performance measurement baseline to reflect the overall effects of changes made during the month. It also provides a summary track from the original contract negotiated cost to current costs (negotiated and unpriced). A completed copy of Format 3 is shown on page II-55.

#### 6. FINANCIAL INCENTIVES PLANS (PRO FORMAS) AND STATUS REPORTS.

- a. General. There are six financial incentives plans and status reports each to be accompanied by supplementary information as appropriate. The financial incentives plans and reports briefly described in paragraphs 6b and 6c are required from recipients of financial incentives only.
- b. Description of Plans and Reports. Financial incentives plans and status reports requirements are described below. Formats are identical for plans and reports except that plans are labeled "Pro Forma."
  - (1) Statement of Income and Expense is a statement of the increase or decrease in the owner's equity of an entity arising from profit-seeking operations (as distinct from owner investments or withdrawals) during a given period of time.
  - (2) Balance Sheet is a statement of the assets, liabilities, and owner's equity of an entity at a given time.
  - (3) Cash Flow Statement is a statement of the sources and uses of funds, with funds defined as working capital.
  - (4) Statement of Changes in Financial Position is a statement of the sources and uses of funds with funds defined as total assets.
  - (5) Loan Drawdown Report is a statement of the total funds made available to the borrower by DOE action and of the portion that has been received to date.
  - (6) Operating Budget covers the total period budget for operating the entity, structured by Departmental or functional organization element, and itemized by cost element.
  - (7) Supplementary Information is other material necessary to provide the full disclosure required for credit management.
- c. General Requirements. The borrower may prepare such reports as are

most useful for its own purposes, provided that information useful to DOE is clearly communicated. The project manager should ensure that the following guidelines are followed by borrowers in the preparation of their financial reports.

- (1) Format. Balance sheets should be submitted in report format, not account format, and should include only three major sections: assets; liabilities; and owner's equity. Income statements should be submitted in single-step format.
- (2) Headings. The heading of each financial report must clearly state the name of the company, the state of incorporation, the name of the report, the period or date represented by the reported date, and whether or not the statements are consolidated.
- (3) Data Precision. Numeric data may be rounded as appropriate but must be mathematically correct.
- (4) Clarity. Wording must be concise and clearly descriptive.
- (5) Classification. The reporting classifications in financial statements must be designed to assist DOE in its monitoring and decisionmaking; they shall not overlap.
- (6) Historical Comparison. Reports should compare most recent data with similar data from an appropriate earlier period or periods. Summaries must compare data for each of the most recent 5 years, or for the life of the loan if less than 5 years.
- (7) Objectivity. Reported data must be determined in a fair and unbiased manner so that a disinterested party would be expected to verify the result.
- (8) Full Disclosure. All financial data that are material to evaluating managerial ability and credit worthiness must be fully disclosed. Narrative information required for proper interpretation shall be reported, including the accounting methods used and the basis of asset valuations.
- (9) Uniformity/Consistency. Accounting principles, classifications, and terminology must be consistent within and between accounting periods. The borrower must fully disclose any necessary changes or inconsistencies and their effect.
- (10) Consolidation. For reporting to DOE, a borrower may not consolidate reports with those of a controlling entity unless the controlling entity is fully responsible for repayment of the borrower's total indebtedness to DOE.

d. Specific Requirements.

- (1) Income Statements. The Project manager should ensure that income statements reported to DOE specifically include full disclosure of the following:
  - (a) Extraordinary items net of income taxes, including early debt retirement;

- (b) Allocated income tax expense;
  - (c) Pension costs;
  - (d) Depreciation expense and methods for compensation;
  - (e) Method for determining cost of goods sold;
  - (f) Effect on net income of changes in accounting principles or methods;
  - (g) Effect on operations of any pooling or purchase of interests; and
  - (h) Details of rental and lease agreements.
- (2) Balance Sheets. The project manager should similarly ensure that balance sheets reported to DOE specifically disclose the following:
- (a) Methods of valuation of assets and liabilities, including methods of depreciation for major classifications of assets;
  - (b) Details of investments, including market value of any securities when significantly above cost;
  - (c) Changes in depreciating assets, and related accumulated depreciation;
  - (d) Liquidation preferences of preferred stock and description of long-term liabilities;
  - (e) Changes in details of stockholder's equity items;
  - (f) Any pooling of interests;
  - (g) Stock option plans;
  - (h) Rental and lease commitments; and
  - (i) Unfunded liabilities.
- (3) Forecasts. When forecasts are reported, the project manager should ensure that the borrower observes the following general guidelines:
- (a) Standard Format. Forecasts must be presented in the same format as comparable financial reports.
  - (b) Single Most Probable Result. A forecast must report what borrower management believes to be the single most probable result of future planned activities. Because all forecasts are uncertain, a range of results should also be forecast.
  - (c) Assumptions and Their Effects. Assumptions underlying the forecast must be reasonable, appropriate, explicitly stated, and supported in proportion to the potential impact on the forecast if the assumption proves erroneous.

- (d) Preparation of Forecast. forecasts must be carefully prepared by qualified personnel, using the best available tools and data, and following counted procedures. The forecasts must be reviewed and approved by management responsible for execution of the activities being forecast. The process(es) through which the forecasts were developed must be adequately documented, as should the forecasts these;
- (e) Forecast Error Tracking. Forecast results must be regularly compared to actual results as a basis for improvement and as an indicator of future forecast accuracy.

## 7. TECHNICAL REPORTS.

- a. GENERAL. Technical reports provide the DOE project manager and the research community with the scientific and technical information resulting from the work performed by contractors, agencies, laboratories, and other organizations. Scientific and technical information developed during work supported by DOE also shall be reported promptly and fully, in accordance with the policy established in DOE 1430.1C, to the Office of Scientific and Technical Information, P.O. Box 62, Oak Ridge, TN 37831. This ensures that the findings are included in DOE's information data base and, as security, patent, and other DOE policy considerations permit, that they are made available to the scientific, technical, and industrial communities and to the public through approved channels. Because the scientific and technical information program is a basic and integral part of DOE's research and development program, research and development projects cannot be closed until the scientific and technical information (unlimited, limited, controlled, and classified) is recorded, documented, and provided to the Office of Scientific and Technical Information for processing, control, and dissemination (when appropriate). DOE patent counsel reviews such publications prior to release for publication to prevent premature disclosure of inventions and other proprietary information.

Not all DOE programs produce the full range of technical reports. For example, small loans or loan guarantees that involve research, development, or demonstration projects may only require a final technical report; small training programs may not require any technical report.

- b. Description of Reports. Technical reports include the following:
  - (1) Progress Reports which summarize the work performed during a specific reporting period and include the technical and scientific results (both positive and negative) of that period.
  - (2) Topical Reports which are comprehensive statements of the technical results of work performed on a specific task or phase of all contractual agreements for research and development efforts. They also can be detailed descriptions of scientific or technological advances.
  - (3) Final Reports are required for all contractual agreements for research and development work. These reports are technical accounts of the total work performed under the contractual

agreement. They are comprehensive descriptions of the results achieved and of the investigations undertaken, and they include tabulations of data, figures, photographs, and bibliographic citations in support of the investigations undertaken. Where applicable, they summarize all topical and technical progress reports.

- (4) Other Technical Reports/Publications such as journal articles, conference papers, books, theses, and translations.
  - (5) Software Submittals as required in DOE 1430.2A AND DOE 1360.4B.
  - (6) Notice of Energy RD&D Project (Form DOE 538) which provides the Office of Scientific and Technical Information with a descriptive summary of the RD&D project for inclusion in its Research-In-Progress data base. A completed example is shown on page II-58.
- c. General Content. The DOE project manager will ensure that the participant has been informed that:
- (1) Each report of a scientific, technical, and engineering information nature should begin with a statement of the original objectives of the effort and a concise summary of the progress achieved during the reporting period. The body of the report should contain a full account of progress, problems encountered, plans for the next reporting period, and an assessment of the prospects for future progress. The author(s) of the report should clearly identify technical factors which affect, either positively or negatively, plans for achieving the objectives on schedule and within the available.
  - (2) The report should include sufficient detail to allow the work to be reproduced by others. Each report should include a thorough account of activities directed toward application of the results, such as investigation of user needs, work or collaboration with potential users, and activities to disseminate the results. It should also include a discussion of how these activities have affected the course of the project, and may include utilization activities. They should not include proposals for further support. Such reports should be submitted separately to protect their privacy.
  - (3) Computer programs and routines with scientific, technical, and technology-related applications developed by participants should be discussed in the report and provided to the National Energy Software Center under the policies and procedures of DOE 1360.4B, SCIENTIFIC AND TECHNICAL COMPUTER SOFTWARE.
- d. Specific Contents. Detailed requirements concerning report content and preparation are specified in DOE 1430.1C and DOE 1430.2A, and related Office of Scientific and Technical Information documents.

#### CONTRACT EXAMPLE

LIST OF REPORTS	PAGE
Summary Report	II-28

Milestone Schedule Plan	II-31
Milestone Log	II-33
Labor Plan (Detail by Work Breakdown Structure Element)	II-34
Cost of Money Factors Computation	II-36
Contract Facilities Capital and Cost of Money	II-38
Cost Plan (Detail by Work Breakdown Structure Element)	II-40
Milestone Schedule Status Report	II-42
Milestone Log	II-43
Labor Management Report (Detail by Work Breakdown Structure Element)	II-44
Cost Management Report (Detail by Work Breakdown Structure Element)	II-46
Work Breakdown Structure Dictionary, Part I - Index	II-48
Work Breakdown Structure Dictionary, Part II - Element Definition	II-50
Cost Performance Report - Work Breakdown Structure (Format 1)	II-52
Cost Performance Report - Functional Categories (Format 2)	II-54
Cost Performance Report - Baseline (Format 3)	II-56
Example Notice of Energy RD&D Project	II-58

\*\*\*\* DATABASE NOTE:

ATTACHMENT OF ATTACHMENT II-1 - DOE F 1332.2 - SUMMARY REPORT  
(PAGES II-28 THROUGH II-61) IS NOT INCLUDED IN DATABASE, DUE  
TO ITS FORMAT.

### CHAPTER III

#### SELECTING REQUIRED PLANS AND REPORTS

1. GENERAL. DOE intends that the uniform reporting system satisfy DOE management requirements, yet not impose extraneous reporting requirements on participants. The protect manager should select only those plans and reports essential to the effective management of a contractual agreement including satisfaction of technical information reporting requirements. Reporting requirements reflect the nature of the contractual agreement which may stipulate, when appropriate, that the participant will manage the activity without DOE collaboration, participation, or intervention. Whatever the nature of the contractual agreement, the principal purpose of reporting is to provide the minimum information required to protect DOE's interests, to provide a reasonable assurance that the terms of the award are being complied with and will be in the future, and to ensure appropriate dissemination of technical information. This chapter discusses selection of reports, their

frequency and due dates, related considerations, and special requirements.

## 2. REPORTING REQUIREMENTS CONSIDERATIONS.

- a. General. The DOE project manager will determine and specify the information to be reported concerning plans for and status of work to be performed on the contractual agreement. The project manager also determine the frequency and due dates of report submissions, the number of copies, at their distribution. All will be specified on the "Reporting Requirements Checklist," and attachments (see Chapter IV). Other information requirements may be obtained from other interested offices as appropriate for inclusion in the procurement request. Control over requirements is achieved by systematically correlating them with statement of work tasks and with programmatic, dissemination, and other end-use requirements. This procedure can provide prospective contractors with a complete picture of tasking, data, and reporting requirements, enabling them to realistically determine costs for data and reporting for inclusion in the proposal or bid. The work breakdown structure is an effective technique that may be employed to assist this procedure on any contractual agreement.
- b. Program Legislation, Federal Regulations, and DOE Guidance. Some DOE program legislation requires specific reporting, controls, and procedures. Project Managers and participants must abide by the statutory and regulatory terms pertaining to the program to ensure the collection of essential information.
- c. Tape of Contractual Agreement. Cost-plus contracts generally require closer surveillance than fixed-price contracts and may require "Cost of Money" reports. Loans, which may in the event of default produce unwanted inventory, require financial information not required on contracts.
- d. Cost and Schedule Control Systems Criteria Application. Compliance with the cost and schedule control systems criteria requires that the contractor employ a "Work Breakdown Structure Dictionary," utilize performance measurement data for management control, and prepare a "Management Control Systems Description" as a baseline for systems review.
- e. Nature and Scope of Activity. The project manager should consider the scope and characteristics of the activity when selecting baseline plans and reports. For example, a facilities lease or rental contract would not normally show milestone progress on a scheduled basis. On the other hand, construction efforts have specific, time-phased, readily measurable schedule performance goals.
- f. Value of the Effort. The value of the project often influences the amount of reporting necessary. High dollar programs, projects, or contractual agreements generally will require more reporting than low dollar programs, projects, or contractual agreements.
- g. Duration and Complexity of the Effort. Long-term efforts with many interrelated activities are likely to require more information than shorter term efforts of less complexity.
- h. Nature and Extent of the Risks Involved. High risk ventures in



which, for example, high cost overruns or large schedule slippages may result, demand closer surveillance than ventures or activities with little risk.

- i. Significance of the Effort: High interest by the public, Congress, or the Administration will require closer surveillance by DOE and, therefore, the submission of more frequent and/or more detailed reports.
- j. Information Requirements of Other DOE Offices. The project manager should ensure that the data requirements of DOE finance, procurement, and program offices, and the Office of Scientific and Technical Information are identified and satisfied. Any other DOE organizations that may be involved should identify and justify their data requirements for the project manager preparing the checklist.
- k. Reporting Burden. The number of required reports, their level of detail, and the frequency of their submission should be proportionate to the resources used on the contractual agreement. Project managers should consider the resources spent on report preparation and retention in relation to the resources required to accomplish the overall objective.
- l. Performance Measurement. Performance measurement reporting techniques which include work breakdown structure utilization, cost performance reporting, and control of baseline and management systems are not restricted to cost and schedule control systems criteria applications.
- m. Field Work Package Proposal and Authorization System Considerations. A "Technical Progress Report" and DOE Form 538, "Notice of Energy RD&D Project," at the field work package proposal and authorization system task level, must be submitted by the principle investigator to the contracting officer at least once each fiscal year. A "Final Technical Report" must be submitted at the termination of all research, development, and demonstration contractual agreements and field work package proposal and authorization system tasks.
- n. Personal Knowledge of Technical Work. The project manager may modify reporting requirements as a result of personal knowledge of the nature and scope of the technical work to be performed and an assessment of the rate at which technical information will be developed, become available, and be disseminated.
- o. Publication Practicability. The practicability of publishing technical progress reports when submitted to the project office more frequently than quarterly must be considered.

### 3. REPORT AND FREQUENCY SELECTION TABLES.

- a. General. Figure III-1 through III-8 identify plans and reports recommended for inclusion in contractual agreements, the appropriate due dates, and frequency of submission. Tables are provided for contracts, and financial incentives. Separate tables are provided for performance measurement, technical, and financial reports. However, project managers are expected to apply their specific knowledge of all factors involved before specifying reporting requirements. If, during the course of the project, analysis of the items of reported data and associated variances indicate that the DOE's interest is or may be jeopardized, the project manager should

consider increasing the frequency or depth of detail of reporting. Conversely, some conditions, such as the point in the life cycle, may indicate reduced requirements.

- b. Contracts. Selection tables for contracts are provided in Figures III-1 and III-2 for fixed-price and cost-type contracts respectively, including those with the cost and schedule control systems criteria applied, and in Figure III-3 for interagency agreements. The columns labelled "Research Support or Technology Development" provide guidance for both basic and applied research contracts and for all other categories of contract not specifically identified in other column headings. "Facilities Capital Cost of Money Factors" and "Contract Facilities Capital and Cost of Money" reports are not shown, since their use is independent of contract value. Figure III-4 provides the selection tables for performance measurement reports when the cost and schedule control systems criteria are applied to cost-type contracts. Figure III-5 provides the selection table for technical information reports.
- c. Financial Incentives. Selection tables for general management, cost and schedule, and exception reports for financial incentives are provided in Figure III-6. Figure III-6 applies to financial incentives with and without application of the cost and schedule control systems criteria. Figure III-4 provides the selection table for performance measurement reports, Figure III-5 for technical reports, and Figure III-7 for financial reports. A yearly report may generally be substituted for the fourth quarter report.

#### 4. DUE DATES FOR PLANS AND REPORTS.

- a. General. The project manager uses the "Reporting Requirements Checklist" to designate the frequency for submitting reports. The designated frequency may vary with each contractual agreement and may be negotiated during the award phase. Figure III-8 shows the due dates associated with each frequency code. Due dates are stated in terms of calendar days after a specified date or event.
- b. Contracts. Quarterly, half-year, and end-of-year due dates for contracts are based on the Government fiscal year calendar.
- c. Financial Incentives. Quarterly, half-year, and end-of-year due dates for financial reports should be based on the borrower's fiscal year. However, new entities formed for the purpose of participating in authorized financial incentive programs of the DOE should be encouraged to adopt the Government fiscal year (October 1 - September 30).

#### 5. SPECIAL REQUIREMENTS.

- a. General. Although the guidance provided in previous sections is generally adequate for determining reporting requirements, special circumstances will sometimes require adaptation of the requirements identified in the tables. Some of these circumstances are identified below.
- b. Multiparticipant Projects. It will occasionally be necessary to summarize information from several contractual agreements into a single report for an overview of the project. A construction project is an example of such an occasion. In this instance, the system will feed report information to a field office of the

integrating contractor to meet DOE reporting requirements. The forms in this Order accommodate this requirement, but pagination and title page requirements must be adjusted to reflect the single-document nature of this type of submission.

- c. Second Tier Participants. In some instances, DOE may require reporting on work that is subcontracted, in which case the prime contractor may require detailed reporting by the subcontractor. In such instances, the prime contractor should negotiate the use of this Order and the forms and formats with the subcontractors.
- d. Unique Reporting Requirements. A major organization within DOE that has a unique reporting requirement may develop its requirement as a supplement to this Order. (See page I-7, paragraph 13, of DOE 1321.1B, DEPARTMENTAL DIRECTIVES SYSTEM, of 4-7-83.) The requirement will be described in an attachment to special instruction DOE 1332.1, "Reporting Requirements Checklist." Under no conditions, however, shall these requirements duplicate the information required in the reports in this Order. The Office of Project and Facilities Management and the originating organization will coordinate any unique requirement prior to publication. Unique reporting requirements must have OMB clearance under Title 5 CFR 1320, Paperwork Reduction Act of 1980.

FOR:									
Firm Fixed Price Contracts	DOE Form No.	Research Support Technology Development			Construction or Demonstration			Supply	
		Under 200K to 2M	Over 200K to 2M	Over 2M	Under 200K to 2M	Over 200K to 2M	Over 2M	Under 200K to 2M	Over 200K to 2M
GENERAL MANAGEMENT:									
Management Plan	None			X					
Status Report	None	S	Q	M	Q	Q	M	S	S
Summary Report	1332.2								
SCHEDULE/LABOR/COST:									
Plans:									
Milestone Schedule Plan	1332.3	X	XOC	XOC	X	XOC	XOC	X	XOC
Labor Plan	1332.4								
Cost Plan	1332.5			XC			XC		XC
Status:									
Milestone Schedule Report	1332.3			M		Q	M		Q
Labor Management Report	1332.8								

Cost Management Report	1332.9								
EXCEPTION REPORTS:									
Conference Record	None	A	A		A	A		A	A
Hot Line Report	None	A	A		A	A		A	A
FREQUENCY CODES:									
A - As required	M - Monthly	S - Semi-annually							
C - Agreement change	O - Once after award	X - With application/proposal							
F - Final	Q - Quarterly	Y - Yearly							

Figure III-1  
Selection Table for General Management, Schedule/Labor/Cost, and  
Exception Reports for Firm Fixed Price Contracts

FOR:									
Cost Type Contracts		Research Support							
	DOE	or Technology			Construction or				
	Form	Development			Demonstration			Supply	
	No.								
		Under 200K	Over		Under 200K	Over		200K	Over
		200K	to 2M	2M	200K	to 2M	2M	to 2M	2M
GENERAL MANAGEMENT:									
Management Plan	None	XO	XO	XO	XO	XO	XO	XO	XO
Status Report	None	S	M	M	Q	M	M	Q	M
Summary Report (Not Under CSCSC)	1332.2	S	M	M	Q	M	M	Q	M
SCHEDULE/LABOR/COST:									
Plans:									
Milestone Schedule Plan	1332.3	XO	XOYC	XOYC	OYC	XOYC	XOYC	XO	XO
Labor Plan	1332.4			XOYC		XOYC	XOYC		
Cost Plan	1332.7	XO	XOYC	XOYC	OYC	XOYC	XOYC	XOYC	XOYC
Status:									
Milestone Schedule Report	1332.3		M	M	M	M	M		
Labor Management Report	1332.8			M		M	M		
Cost Management Report	1332.9	M	M	M	M	M	M	Q	M

EXCEPTION REPORTS:							
Conference Record	None	A	A	A	A	A	A
Hot Line Report	None	A	A	A	A	A	A
FREQUENCY CODES:							
A - As required	M - Monthly	S - Semi-annually					
C - Agreement change	O - Once after award	X - With application/proposal					
F - Final	Q - Quarterly	Y - Yearly					

Figure III-2  
Selection Table for General Management, Schedule/Labor/Cost,  
and Exception Reports for Cost Type Contracts

FOR:						
Interagency Agreements	DOE	Research Support				
	Form	or Technology			Construction or	
	No.	Development			Demonstration	
		Under 200K	Over	Under 200K	Over	
		200K to 2M	2M	200K to 2M	2M	
GENERAL MANAGEMENT:						
Management Plan	None	XO	XO	XO	XO	
Status Report	None	Q	M	Q	M	
Summary Report		Q	M	Q	M	
SCHEDULE/LABOR/COST:						
Plans:						
Milestone Schedule Plan	1332.3	XO	XO	XO	XO	
Labor Plan	1332.4					
Cost Plan	1332.7	XO	XO	XO	XO	
Status:						
Milestone Schedule Report	1332.3		M	M	M	
Labor Management Report	1332.8					
Cost Management Report	1332.9	1/ Q	Q	1/ Q	M	M
		1/ only if advance funded		1/ only if advance funded		

EXCEPTION REPORTS:					
Conference record	None	A	A	A	A
Hot Line Report	None	A	A	A	A
FREQUENCY CODES:					
A - As required	M - Monthly	S - Semi-annually			
C - Agreement change	O - Once after award	X - With application/ proposal			
F - Final	Q - Quarterly	Y - Yearly			

Figure III-3  
Selection Table for General Management, Schedule/Labor/Cost,  
and Exception Reports for Interagency Agreements

FOR:			
-----			
Contracts and Financial Incentives With CSCSC	DOE Form No.	CONTRACTS	FINANCIAL INCENTIVES
-----			
PERFORMANCE MEASUREMENT:			
-----			
Management Control Systems Description	None	XA	XA
Work Breakdown Structure Dictionary - Index	1332.10	XOC	XOC
Work Breakdown Structure Dictionary - Element Definition	1332.11	XOC	XOC
Cost Performance Report			
Format 1 - Work Breakdown Structure	1332.12	M	Q
Format 2 - Functional Categories	1332.13	M	Q
Format 3 - Baseline	1332.14	M	Q
-----			
FREQUENCY CODES:			
-----			
A - As required	M - Monthly	S - Semi-annually	
C - Agreement change	O - One time (after award)	X - With application/ proposal	
F - Final	Q - Quarterly	Y - Yearly	

Figure III-4  
Selection Table for Performance Measurement Reports  
for Cost-Type Contracts and Financial Incentives with CSCSC

FOR:

1/ All Contractual Agreements	DOE Form No.	Frequency
-----		
TECHNICAL:		
-----		
Notice of Energy RD&D Project	538	OY
Technical Progress Report	None	Y
Topical Report	None	A
Other Published Works	None	A
Final Technical Report	None	F
-----		
FREQUENCY CODES:		
-----		
A - As required	M - Monthly	S - Semi-annually
C - Agreement	O - Once after	X - With application/
change	award	proposal
F - Final	Q - Quarterly	Y - Yearly
-----		
1/ Except human resource development programs and conservation and public service programs.		

Figure III-5  
Selection Table for Technical Information Reports for  
All Contractual Agreements

e. Shared Participation.

- (1) For shared cost contractual agreements, DOE specifies in the contractual agreement the scope of the cost data to be reported.
- (2) DOE requires data on the total cost of these items for which the Government contributes a share of the cost. Therefore, the participant's reports will show the total cost of each reporting category and of the total. In addition, each contributor's share of the cost of the total contract should be shown.
- (3) In some cases, the participant's share of the costs need not be reported. For example, the contractual agreement may provide that the participant will supply certain items of real estate or equipment without cost to the Government or will bear the total cost of one or more discrete tasks. In such cases, these items need not be reported on the cost or labor reports. The participant should address these items in the "Milestone Schedule Status Report" and the "Status Report," so that the DOE project manager can monitor their progress.

FOR:			
-----			
		Research Support or	Construction or
	DOE	Technology Development	Demonstration
Financial	Form	-----	-----

Incentives	No.	Under \$1 Million	Over \$1 Million	Under \$1 Million	Over \$1 Million
GENERAL MANAGEMENT:					
Management Plan	None	XO	XOA	X	XOA
Participant Status Report	None	S	Q	S	Q
Participant Summary Report	1332.2	S	Q	S	Q
SCHEDULE/LABOR/COST:					
Plans:					
Milestone Schedule Plan	1332.3	XO	XOYC	X	XOYC
Labor Plan	1332.4				
Cost Plan	1332.7	OC	XOYC	OC	XOYC
Status:					
Milestone Schedule Report	1332.3	S	Q	S	Q
Labor Management Report	1332.8				
Cost Management Report	1332.9				
EXCEPTION REPORTS:					
Conference Record	NONE	A	A	A	A
Hot Line Report	NONE	A	A	A	A
FREQUENCY CODES:					
A - As required	M - Monthly	S - Semi-annually			
C - Agreement change	O - Once after award	X - With application/proposal			
F - Final	Q - Quarterly	Y - Yearly			

Figure III-6  
Selection Table for General Management, Schedule/Labor/Cost, and  
Exception Reports for Financial Incentives

FOR:		
Financial Incentives	Form No.	All Loans and Loan Guarantees
Income and Expense Statement	None	XOYQC
Balance Sheet	None	XOYQC



Cash Flow Statement	None	XOYC
Statement of Changes in Financial Position	None	XOYC
Loan Drawdown Report	None	QC
Operating Budget	None	XOQC
Supplementary Information	None	XOYC
-----		
FREQUENCY CODES:		
-----		
A - As required	M - Monthly	S - Semi-annually
C - Agreement change	O - Once after award	X - With application/ proposal
F - Final	Q - Quarterly	Y - Yearly

Figure III-7  
Selection Table for Financial Reports  
for Financial Incentives

- f. Substitution of Alternative Reporting. One objective of this Order is the establishment of uniform forms, formats, data elements, frequency, and due dates to be used for participant reporting. However, the project manager may substitute alternatives that are natural products of the participant's internal management systems, or that otherwise are judged to be most cost effective. A participant's proposal should include a discussion of any proposed substitutions or changes to the reporting requirements and how the proposed substitutions or changes meet this Order's reporting requirements. The project manager will prepare the Reporting Requirements Checklist and an attachment describing any substitution with the Office of Project and Facilities Management prior to finalization of the contractual agreement.
- g. Consulting Services Contracts. All reports containing recommendations to DOE organizations submitted during the performance of a consulting services contract shall contain the following information on the cover of the report:

FOR:			
-----			
All Contractual Agreements			
-----			
WITHIN X CALENDAR DAYS AFTER EVENT:			
-----			
Code	Event	Contracts	Financial Incentives
-----			
A	Precipitating event	1/ 5	1/ 5
C	Change to agreement	15	15
F	End of effort	45	90

M	End of calendar month	20	20
O	Award	15	30
Q	End of quarter	20	30
S	End of half year	20	30
X	Submission of proposal application	2/ 0	2/ 0
Y	End of year or on renewal of contractual agreement	20	45
-----			
1/	48 hours for hot line reports.	2/	Submit with proposal.

Figure III-8  
Frequency Codes and Due Dates  
for All Contractual Agreements

- (1) Name and address of the contractor;
- (2) Contract number.

#### CHAPTER IV

##### SPECIFICATION OF PLAN AND STATUS REPORT REQUIREMENTS

1. GENERAL. Plan and status report requirements must be specified and incorporated in each solicitation and each contractual agreement. The project manager specifies the requirements in the solicitation using the "Reporting Requirements Checklist" and related attachments which later become a part of the award documentation. The contracting officer incorporates them in each solicitation and contractual agreement by inclusion of the appropriate reporting requirements clause.
2. PREPARATION OF THE "REPORTING REQUIREMENTS CHECKLIST."
  - a. Content. The project manager completes the checklist by (1) selecting the required reports, (2) indicating the frequency of their submission, and (3) identifying special instructions attached to the checklist.
  - b. Instructions. Specific information for preparing a checklist is on the reverse side of the form. Special instructions to the participant, in addition to those noted on the Checklist and including requirements for unique reports, reporting element structures or topical requirements, should be attached.
  - c. Approvals. The checklist provides two signature blocks. The project manager preparing the checklist should sign item 7. A checklist exceeding the recommendation in the selection tables requires review and approval with signature of at least the next level of management. The reviewer ensures that only information necessary for required surveillance of the award appears as a

checklist requirement.

- d. Example. The Work Breakdown Structure and the list of reporting elements, illustrated in Chapter II, are not included.

### 3. PREPARATION OF REPORT DISTRIBUTION LIST AND LIST OF ADDRESSEES.

- a. General. The project manager should be aware of the information needs of other DOE organizations and should make arrangements for them to receive the necessary reports in the required quantity. Organizations designated to receive reports should be so advised. For all contractual agreements, a separate copy of the "Status Report," with attachments, should be submitted to the project manager, the contracting officer, and the responsible financial officer. A "Technical Report Distribution Guide for All Contractual Agreements" is provided in Figure IV-1. Each technical report shall be submitted to the DOE Patent Office for patent clearance, unless it is classified, bears a "limited rights" legend, or is accompanied by a DOE F 1332.15 or DOE F 1332.16, precluding either availability to the public or publication. The Office of Scientific and Technical Information should receive all technical information reports. The project manager identifies distribution of reports to be made by the participant on the "Report Distribution List," which is attached to the "Reporting Requirements Checklist." The list specifies the recipients of the reports, their frequency of submission, and the number of copies. It should be accompanied by a "List of Addressees," giving the names and addresses to which reports should be submitted. Attachment IV-1 provides a contract and a financial incentives example on pages IV-6 and IV-10, respectively.

FOR:				
All Contractual Agreements	Project Manager	Contracting Officer	Patent Counsel	TIC
Number of Copies				
Technical Progress Report	4	1	1	1/
Topical Report	4	1	1	1/
Final Technical Report	4	1	1	1/
Journal Article Manuscript	4	1	1	1/
Journal Article Reprint	4	1	1	1/
Conference Paper or Proceedings	4	1	1	1/
Translations	4	1	1	1/

Theses	4	1	1	1/
Books	4	1	1	1/
Notice of Energy RD&D Project	3	1	1	1/
1/ Per DOE 1430.1C, DOE 1430.2A, and other OSTI guidance.				

Figure IV-1  
Technical Report Distribution Guide (Numbers of Copies)  
for All Contractual Agreements

- b. Contracts. The DOE finance office must receive a copy of the "Cost Plan" and either the "Cost Management Report," or the "Cost Performance Report," as preagreed. The contracting officer and project manager should receive at least one copy of each report.
  - c. Financial Incentives. The designated finance officer should receive copies of the "Cost Plan" and "Cost Management Report." A separate copy of the "Status Report" will usually be submitted to the project manager, the contracting officer, and the responsible financial officer. Attachment IV-1 includes an example of a two-page "Report Distribution List." The "Report Distribution List" for other published works is shown separately due to page space limitations.
  - d. Technical Reports.
    - (1) DOE/TIC-4500 and M-3679 provide standard distribution lists for unclassified and classified technical information reports, respectively.
    - (2) Distribution made outside the standard distribution system shall be coordinated with the Office of Scientific and Technical Information. Standard distribution and other distribution coordinated with the Office of Scientific and Technical Information are referred to as official distribution.
    - (3) The contractor shall furnish the Office of Scientific and Technical Information with at least two full-size copies of suitable quality for reproduction and microfiching. If performing organizations print documents for their own use, they should print a sufficient number of copies for standard distribution.
4. INCLUSION OF REPORTING REQUIREMENTS IN THE SOLICITATION AND CONTRACTUAL AGREEMENT. The contracting officer incorporates the requirements for the selected reports into the solicitation and, subsequently, into the contractual agreement. Blank forms for the required baseline plans should be included in the solicitation for submission as part of the proposal package. Additionally, the solicitation should contain a copy of this Order to assist the proposer in determining the total administrative costs.

# EXAMPLE REPORTING REQUIREMENTS CHECKLIST

Example	Page
Contract Example	IV-6
Reporting Requirements Checklist	
Special Instructions:	
Report Distribution List/Addresses	IV-8
Due Dates	IV-10
Analysis Thresholds	IV-10
Financial Incentives Example	
Reporting Requirements Checklist	IV-11
Special Instructions:	
Report Distribution List/Addresses	IV-12

\*\*\*\* DATABASE NOTE:  
ATTACHMENT OF ATTACHMENT IV-1 - DOE F 1332.1 - REPORTING REQUIREMENTS  
CHECKLIST (PAGES IV-6 AND IV-7) IS NOT INCLUDED IN DATABASE, DUE TO  
ITS FORMAT.

## CONTRACT EXAMPLE

### REPORT DISTRIBUTION LIST

Report/Plan	Form No.	Frequency	No. of Copies	Address
Management Plan	None	X	5	C
Milestone Schedule Plan	1332.3	X	5	C
Cost of Money Factors	1332.5	X	5	C
Contract Cost of Money	1332.6	X	5	C
Cost Plan	1332.7	X	5	C
Management Plan	None	O	1,1	A,B
Milestone Schedule Plan	1332.3	O	1,1,1	A,B,C
Cost of Money Factors	1332.5	O	1,1,1,1	A,B,C,F
Contract Cost of Money	1332.6	O	1,1,1,1	A,B,C,F
Cost Plan	1332.7	O	1,1,1,1	A,B,C,F
Status Report	None	M,S	1,1	A,B
Summary Report	1332.2	M,S	1,1	A,B
Notice of Energy RD&D	DOE 538	1/ O,Y	3,1,1,1	A,B,C,E
Technical Progress Report	None			
Final Approval Report	None	Q	4,1,1,2	A,B,D,E
Topical Report	None	A	4,1,1,2	A,B,D,E
Final Technical Report	None			
Final Approval Report	None	F	4,1,1,2	A,B,D,E
1/ Copies for OSTI shall be in accordance with DOE 1430.2.				

CONTRACT EXAMPLE

LIST OF ADDRESSEE

A. Mr. Ed Hamm, Project Control Office Department of Energy Division of Conservation and Renewable Energy (CE-2) Washington, DC 20585	D. Department of Energy Office of General Counsel Patent Office (GC 42) Washington, DC 20585
B. Mr. M. A. Walsh, Project Manager Department of Energy Office of Energy Conversion and Utilization Technologies (CE-142) Washington, DC 20585	E. Department of Energy Office of Scientific and Technical Information P.O. Box 62 Oak Ridge, TN 37830
C. Mr. Ralph Richards, Contracting Officer Department of Energy Office of Procurement Operations (MA-452.1) Washington, DC 20585	F. Department of Energy Office of the Controller (MA-3) P.O. Box 500 Germantown, MD 20767

CONTRACT EXAMPLE

DUE DATES

WITHIN X CALENDAR AFTER EVENT:		
Code	Event	Contracts
A	Precipitating event	1/ 5
C	Change to agreement	15
M	End of calendar month	20
O	Award	15
S	End of half year	20
X	Submission of proposal application	2/ 0
Y	End of year or on renewal of contractual agreement	20
1/ 48 hours for hot line reports. 2/ Submit with proposal.		

ANALYSIS THRESHOLDS

The "Status Report" will contain descriptive analyses of below listed WBS elements whenever the corresponding thresholds are breached as reported in the "Cost Management Report" of the same period.

WBS Elements At	Variance Thresholds	
	1/ Cum to Date	2/ At Completion
Level 1	5%	5%
Level 2	7%	7%
Level 3	10%	10%
1/ Plan (Col. 10d) - Actual (Col. 10;) Plan (Col. 10d)		
2/ Variance (Col. 13) Total Contract Value (Col. 12)		

\*\*\*\* DATABASE NOTE:

ATTACHMENT OF ATTACHMENT IV-1 - DOE F 1332.1 - REPORTING REQUIREMENTS CHECKLIST (PAGE IV-10) IS NOT INCLUDED IN DATABASE, DUE TO ITS FORMAT.

FINANCIAL INCENTIVES EXAMPLE

REPORT DISTRIBUTION LIST

Report/Plan	Form No.	Frequency	No. of Copies	Address
Management Plan	None	X	5	B
Milestone Schedule Plan	1332.3		5	B
Cost Plan	1332.7	O, C	1, 1, 1	A, B, C
Status Report	None	S	1	A
Summary Report	1332.2	S	1	A
Milestone Schedule Status	1332.3	S	1	A
Proformas:				
Statement of Income and Expense	None	X	5	B
Balance Sheet	None	X	5	B
Cash Flow Statement	None	X	5	B
Statement of Changes in Financial Position	None	X	5	B
Loan Drawdown Report	None	X	5	B
Operating Budget	None	X	5	B
Supplementary Information	None	X	5	B
Actuals:				
Balance Sheet	None	O, Y, Q, C	1, 1, 1	A, B, C
Statement of Income and				

Expense	None	O, Y, Q, C	1, 1, 1	A, B, C
Cash Flow Statement	None	O, Y, C	1, 1, 1	A, B, C
Statement of Changes in Financial Position	None	O, Y, C	1, 1, 1	A, B, C
Loan Drawdown Report	None	Q, C	1, 1, 1	A, B, C
Operating Budget	None	O, Q, C	1, 1, 1	A, B, C
Supplementary Information	None	O, Y, C	1, 1, 1	A, B, C
-----	-----	-----	-----	-----
Hot Line Report	None	A	1, 1	A, B
Conference Record	None	A	1, 1	A, B
-----	-----	-----	-----	-----
Notice of Energy RD&D	DOE 538	O, Y	4, 1, 1, 1	A, B, D, E
Technical Progress Report	None	Y	4, 1, 1, 2	A, B, D, E
Topical Report	None	A	4, 1, 1, 2	A, B, D, E
Final Technical Report	None	F	4, 1, 1, 2	A, B, D, E
-----	-----	-----	-----	-----

#### FINANCIAL INCENTIVE EXAMPLE

##### LIST OF ADDRESSEES

A. R. V. Smith, Project Manager U.S. Department of Energy Office of Oil, Gas, and Shale Technology (FE-33) Washington, DC 20585	D. U.S. Department of Energy Chicago Patents Group 9800 South Cass Avenue Argonne, IL 60439
B. L. T. Terracotta, Loan Specialist U.S. Department of Energy Office of Procurement Operations (MA 452.1) Washington, DC 20585	E. U.S. Department of Energy Office of Scientific and Technical Information P.O. Box 62 Oak Ridge, TN 37830
C. A. Varon, Finance Office U.S. Department of Energy Office of Compliance (MA 33) P.O. Box 500 Germantown, MD 20545	



SECTION J

ATTACHMENT 4a

DOE FORM 1332.1, REPORTING REQUIREMENTS CHECKLIST

1. PROGRAM/PROJECT TITLE  Management and Technical Support Services		2. IDENTIFICATION NUMBER																											
3. PARTICIPANT NAME AND ADDRESS																													
4. PLANNING AND REPORTING REQUIREMENTS																													
A. General Management <table border="1"> <thead> <tr> <th></th> <th>Frequency</th> </tr> </thead> <tbody> <tr> <td><input checked="" type="checkbox"/> Management Plan</td> <td rowspan="3">O, A M</td> </tr> <tr> <td><input checked="" type="checkbox"/> Status Report</td> </tr> <tr> <td><input type="checkbox"/> Summary Report</td> </tr> </tbody> </table>			Frequency	<input checked="" type="checkbox"/> Management Plan	O, A M	<input checked="" type="checkbox"/> Status Report	<input type="checkbox"/> Summary Report	E. Financial Incentives <table border="1"> <thead> <tr> <th></th> <th>Frequency</th> </tr> </thead> <tbody> <tr><td><input type="checkbox"/> Statement of Income and Expense</td><td rowspan="10"></td></tr> <tr><td><input type="checkbox"/> Balance Sheet</td></tr> <tr><td><input type="checkbox"/> Cash Flow Statement</td></tr> <tr><td><input type="checkbox"/> Statement of Changes in Financial Position</td></tr> <tr><td><input type="checkbox"/> Loan Drawdown Report</td></tr> <tr><td><input type="checkbox"/> Operating Budget</td></tr> <tr><td><input type="checkbox"/> Supplementary Information</td></tr> </tbody> </table>			Frequency	<input type="checkbox"/> Statement of Income and Expense		<input type="checkbox"/> Balance Sheet	<input type="checkbox"/> Cash Flow Statement	<input type="checkbox"/> Statement of Changes in Financial Position	<input type="checkbox"/> Loan Drawdown Report	<input type="checkbox"/> Operating Budget	<input type="checkbox"/> Supplementary Information										
	Frequency																												
<input checked="" type="checkbox"/> Management Plan	O, A M																												
<input checked="" type="checkbox"/> Status Report																													
<input type="checkbox"/> Summary Report																													
	Frequency																												
<input type="checkbox"/> Statement of Income and Expense																													
<input type="checkbox"/> Balance Sheet																													
<input type="checkbox"/> Cash Flow Statement																													
<input type="checkbox"/> Statement of Changes in Financial Position																													
<input type="checkbox"/> Loan Drawdown Report																													
<input type="checkbox"/> Operating Budget																													
<input type="checkbox"/> Supplementary Information																													
B. Schedule/Labor/Cost <table border="1"> <tbody> <tr><td><input type="checkbox"/> Milestone Schedule/Plan</td><td rowspan="3">O, A, Y O</td></tr> <tr><td><input checked="" type="checkbox"/> Labor Plan</td></tr> <tr><td><input type="checkbox"/> Facilities Capital Cost of Money Factors Computation</td></tr> <tr><td><input type="checkbox"/> Contract Facilities Capital and Cost of Money</td><td>O</td></tr> <tr><td><input checked="" type="checkbox"/> Cost Plan</td><td rowspan="3">O, A, Y</td></tr> <tr><td><input type="checkbox"/> Milestone Schedule/Status</td></tr> <tr><td><input checked="" type="checkbox"/> Labor Management Report</td></tr> <tr><td><input checked="" type="checkbox"/> Cost Management Report</td><td>M M</td></tr> </tbody> </table>		<input type="checkbox"/> Milestone Schedule/Plan	O, A, Y O	<input checked="" type="checkbox"/> Labor Plan	<input type="checkbox"/> Facilities Capital Cost of Money Factors Computation	<input type="checkbox"/> Contract Facilities Capital and Cost of Money	O	<input checked="" type="checkbox"/> Cost Plan	O, A, Y	<input type="checkbox"/> Milestone Schedule/Status	<input checked="" type="checkbox"/> Labor Management Report	<input checked="" type="checkbox"/> Cost Management Report	M M	F. Technical <table border="1"> <tbody> <tr><td><input type="checkbox"/> Notice of Energy RD&amp;D Project (Required with any of the following)</td><td rowspan="10"></td></tr> <tr><td><input type="checkbox"/> Technical Progress Report</td></tr> <tr><td><input type="checkbox"/> Draft for Review</td></tr> <tr><td><input type="checkbox"/> Final for Approval</td></tr> <tr><td><input type="checkbox"/> Topical Report</td></tr> <tr><td><input type="checkbox"/> Final Technical Report</td></tr> <tr><td><input type="checkbox"/> Draft for Review</td></tr> <tr><td><input type="checkbox"/> Final for Approval</td></tr> <tr><td><input type="checkbox"/> Software</td></tr> <tr><td><input checked="" type="checkbox"/> Other (Specify) As Needed</td></tr> <tr><td>Property Control System</td><td>A  O, A</td></tr> </tbody> </table>		<input type="checkbox"/> Notice of Energy RD&D Project (Required with any of the following)		<input type="checkbox"/> Technical Progress Report	<input type="checkbox"/> Draft for Review	<input type="checkbox"/> Final for Approval	<input type="checkbox"/> Topical Report	<input type="checkbox"/> Final Technical Report	<input type="checkbox"/> Draft for Review	<input type="checkbox"/> Final for Approval	<input type="checkbox"/> Software	<input checked="" type="checkbox"/> Other (Specify) As Needed	Property Control System	A  O, A	
<input type="checkbox"/> Milestone Schedule/Plan		O, A, Y O																											
<input checked="" type="checkbox"/> Labor Plan																													
<input type="checkbox"/> Facilities Capital Cost of Money Factors Computation																													
<input type="checkbox"/> Contract Facilities Capital and Cost of Money	O																												
<input checked="" type="checkbox"/> Cost Plan	O, A, Y																												
<input type="checkbox"/> Milestone Schedule/Status																													
<input checked="" type="checkbox"/> Labor Management Report																													
<input checked="" type="checkbox"/> Cost Management Report	M M																												
<input type="checkbox"/> Notice of Energy RD&D Project (Required with any of the following)																													
<input type="checkbox"/> Technical Progress Report																													
<input type="checkbox"/> Draft for Review																													
<input type="checkbox"/> Final for Approval																													
<input type="checkbox"/> Topical Report																													
<input type="checkbox"/> Final Technical Report																													
<input type="checkbox"/> Draft for Review																													
<input type="checkbox"/> Final for Approval																													
<input type="checkbox"/> Software																													
<input checked="" type="checkbox"/> Other (Specify) As Needed																													
Property Control System	A  O, A																												
C. Exception Reports <table border="1"> <tbody> <tr><td><input type="checkbox"/> Conference Record</td><td rowspan="2">A A</td></tr> <tr><td><input type="checkbox"/> Hot Line Report</td></tr> </tbody> </table>		<input type="checkbox"/> Conference Record	A A	<input type="checkbox"/> Hot Line Report																									
<input type="checkbox"/> Conference Record	A A																												
<input type="checkbox"/> Hot Line Report																													
D. Performance Measurement <table border="1"> <tbody> <tr><td><input type="checkbox"/> Management Control System Description</td><td rowspan="10"></td></tr> <tr><td><input type="checkbox"/> WBS Dictionary</td></tr> <tr><td><input type="checkbox"/> Index</td></tr> <tr><td><input type="checkbox"/> Element Definition</td></tr> <tr><td><input type="checkbox"/> Cost Performance Reports</td></tr> <tr><td><input type="checkbox"/> Format 1 - WBS</td></tr> <tr><td><input type="checkbox"/> Format 2 - Function</td></tr> <tr><td><input type="checkbox"/> Format 3 - Baseline</td></tr> </tbody> </table>		<input type="checkbox"/> Management Control System Description		<input type="checkbox"/> WBS Dictionary	<input type="checkbox"/> Index	<input type="checkbox"/> Element Definition	<input type="checkbox"/> Cost Performance Reports	<input type="checkbox"/> Format 1 - WBS	<input type="checkbox"/> Format 2 - Function	<input type="checkbox"/> Format 3 - Baseline																			
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<input type="checkbox"/> Cost Performance Reports																													
<input type="checkbox"/> Format 1 - WBS																													
<input type="checkbox"/> Format 2 - Function																													
<input type="checkbox"/> Format 3 - Baseline																													
5. FREQUENCY CODES																													
A – As Required		M – Monthly																											
C – Change to Contractual Agreement		O – Once After Award																											
F – Final (end of effort)		Q – Quarterly																											
		S – Semi-Annually																											
		X – With Proposal/Bid/Application or with Significant Changes																											
		Y – Yearly or Upon Renewal of Contractual Agreement																											
6. SPECIAL INSTRUCTIONS (ATTACHMENTS)																													
<input checked="" type="checkbox"/> Report Distribution List/Addressees <input checked="" type="checkbox"/> Reporting Elements <input checked="" type="checkbox"/> Due Dates		<input checked="" type="checkbox"/> Analysis Thresholds <input checked="" type="checkbox"/> Work Breakdown Structure <input type="checkbox"/> Other																											
7. PREPARED BY (SIGNATURE AND DATE)		8. REVIEWED BY (SIGNATURE AND DATE)																											

**EXHIBIT A**

**REPORTING REQUIREMENTS**

**1.0 “COST PLAN” (DOE F 1332.7) AND “COST MANAGEMENT REPORT” (DOE F 1332.9) SHALL INCLUDE THE FOLLOWING ITEMS:**

- a. Items 7 and 8 for the Cost Plan and Items 8 and 9 for the Cost Management Report, respectively, shall be reported by the following Work Breakdown Structure (WBS) Elements.
- b. The cost elements to be reported will be specified in the contract and will include the following as a minimum:
  - Direct Labor Dollars, Regular (by labor category by function).
  - Direct Labor Dollars, Premium (by labor category by function).
  - Fringe Benefits (by labor category by function).
  - Management Reserve.
  - Travel Dollars.
  - Material Dollars (by type of material).
  - Subcontract Dollars.
  - Other Direct Cost Dollars.
  - Costs of Money.
  - General and Administrative (excluding fee) Dollars.
  - Overhead Rates Plus Dollars (application and detail by pool).
  - Fee Dollars.
  - Other costs to ensure total equals contract value.

- c. Cost elements will be reported consistent with DOE PMO Budget and Reporting (B&R) classification and Budget Line Item (BLI) structure. The B&R classification(s) and BLI structure will be identified by the Contracting Officer or his designated representative upon contract award.
- d. For cost items for which there is a variance, a variance analysis shall be included. Variance analysis shall be in accordance with plus/minus 10 percent thresholds in dollars and hours (current and cumulative).

**2.0 “LABOR PLAN” (DOE F 1332.4) AND “LABOR MANAGEMENT REPORT” (DOE F 1332.8) SHALL INCLUDE THE FOLLOWING ITEMS:**

- a. Items 7 and 8 on the Labor Plan and Items 8 and 9 Labor Management Report, respectively, shall be reported by WBS for both professional and non-professional employees.
- b. The Contractor shall also prepare and submit the Labor Plan by Organization category and will include the following as a minimum:
  - General Management.
  - Project Management and Administration.
  - Business Management.
  - Technical Management.
  - Administrative Management.
  - Other Support Services.
  - Reports.
  - Delivery Requirements.
  - Other costs to ensure total equals contract value.
- c. Labor elements will be reported consistent with DOE PMO B&R classification and BLI structure. The B&R classification(s) and BLI structure will be identified by the Contracting Officer or his designated representative upon contract award.

- d. For labor items for which there is a variance, a variance analysis shall be included. Variance analysis shall be in accordance with plus/minus 10 percent thresholds in dollars and hours (current and cumulative).

### **3.0 PROJECT STATUS REPORT**

The Contractor will prepare a monthly Project Status Report (PSR) in accordance with DOE Order 1332.1A, URS. The PSR shall be submitted by the 15th day of each month. Detailed instructions and formats for preparing the PSR are contained in SPRPMO publication "Uniform Reporting System (URS) Guidelines - Monthly Project Status Report and Project Review Handout" (Section J, 4f) A copy of this publication, as well as updates and changes, will be provided to the Contractor.

### **4.0 OTHER REPORTS**

The Contractor shall submit such other reports that may be required by DOE.

### **5.0 REPORT ON CONSULTANTS TO DOE CONTRACTORS**

- a. All cost-type contractors shall report on all consultant agreements.
- b. Reports shall be submitted to the  
Contracting Officer  
SPR Project Management Office  
900 Commerce Road East  
New Orleans, LA 70123

Annually on September 30, and should reflect the Contractor's actual employment as of that date.

- c. Information Required (on form)
  - Name of consultant
  - Regular employer
  - Major field of specialization
  - Services provided
  - Contract duration
  - Number of days
  - Rate of method of compensation
  - Total compensation

Specific instructions on completing the required forms are contained in DOE Order 1332.1, Uniform Reporting System for Contractors, dated October 15, 1985.

## **6.0 REPORT DISTRIBUTION LIST**

<b><u>REPORT</u></b>	<b><u>RECIPIENT</u></b>	<b><u>NUMBER OF COPIES</u></b>
Management Plan	Contracting Officer	1
	Contracting Officer's Representative	1
	Planning and Financial Management Division	1
Status Report	Contracting Officer	1
	Contracting Officer's Representative	1
	Planning and Financial Management Division	3
	Human Resources	1
	Technical Data Center (Library)	1
	Management Distribution (Project Manager, Assistant Project Managers, Counsel, Special Assistant)	7
Labor Plan	Contracting Officer	1
	Contracting Officer's Representative	1
	Planning and Financial Management Division	1
	Human Resources	1
Cost Plan	Contracting Officer	1
	Contracting Officer's Representative	1
	Planning and Financial Management Division	1
Labor Management Report	Contracting Officer	1
	Contracting Officer's Representative	1
	Planning and Financial Management Division	1
	Human Resources	1
	Technical Data Center (Library)	1
Cost Management Report	Contracting Officer	1
	Contracting Officer's Representative	1
	Planning and Financial Management Division	1
	Technical Data Center (Library)	1

SECTION J

ATTACHMENT 4b

DOE FORM 1332.4, LABOR PLAN

U.S. DEPARTMENT OF ENERGY  
**LABOR PLAN**

OMB Control No.  
1910-1400

1. TITLE																2. IDENTIFICATION NUMBER					
3. PARTICIPANT NAME AND ADDRESS										4. LABOR PLAN DATE						5. START DATE					
																6. COMPLETION DATE					
7. Element Code	8. Reporting Element	9. Plan Prior Fiscal Year	10. Actual Prior Fiscal Year	11.  CURRENT FISCAL YEAR													12.  FUTURE FISCAL YEARS			13. Sub- sequent Fiscal Years	14. Total
																Total					
15. TOTAL																					
16. LABOR EXPRESSED IN:				17. SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE																	



SECTION J

ATTACHMENT 4c

DOE FORM 1332.7, COST PLAN

## COST PLAN

[illegible]

SECTION J

ATTACHMENT 4d

DOE FORM 1332.8, LABOR MANAGEMENT REPORT

U.S. DEPARTMENT OF ENERGY  
**LABOR MANAGEMENT REPORT**

1. TITLE						2. REPORTING PERIOD					3. IDENTIFICATION NUMBER			
4. PARTICIPANT NAME AND ADDRESS						5. LABOR PLAN DATE					6. START DATE			
											7. COMPLETION DATE			
8. ELEMENT CODE	9. REPORTING ELEMENT	10. LABOR EXPENDED				11. ESTIMATED LABOR EXPENDITURES							12. Total Contract Labor	13. Variance
		Reporting Period		Cumulative to Date		a. Subse- quent Reporting Period	Balance of Fiscal Year	c. (1)	(2)	(3)	d. Subse- quent Fiscal Years to Completion	e. Total		
		a. Actual	b. Plan	c. Actual	d. Plan									
14. TOTAL														
15. LABOR EXPRESSED IN:		16. SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE												

SECTION J

ATTACHMENT 4e

DOE FORM 1332.9, COST MANAGEMENT REPORT

U.S. DEPARTMENT OF ENERGY  
**COST MANAGEMENT REPORT**

DOE F 1332.9  
(11-84)

Page    of  
FORM APPROVED  
OMB NO. 1910-1400

1. TITLE						2. REPORTING PERIOD					3. IDENTIFICATION NUMBER			
4. PARTICIPANT NAME AND ADDRESS						5. COST PLAN DATE					6. START DATE			
											7. COMPLETION DATE			
8. ELEMENT CODE	9. REPORTING ELEMENT	10. ACCRUED COSTS				11. ESTIMATED ACCRUED COSTS							12. Total Contract Labor	13. Variance
		Reporting Period		Cumulative to Date		a. Subsequent Reporting Period	b. Balance of Fiscal Year	c. (1)	(2)	(3)	d. Fiscal Years to Completion	e. Total		
		a. Actual	b. Plan	c. Actual	d. Plan									
14. TOTAL														
15. DOLLARS EXPRESSED IN:		16. SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE					17. SIGNATURE OF PARTICIPANT'S AUTHORIZED FINANCIAL REPRESENTATIVE AND DATE							

SECTION J

ATTACHMENT 4f

UNIFORM REPORTING SYSTEM GUIDELINES (URSG)

ATTACHMENT 4f

UNIFORM REPORTING SYSTEM GUIDELINES (URSG)

**IS A SEPARATE PDF.FILE**  
**ATTACHMENT ENTITLED J-4f**



ATTACHMENT 5  
GOVERNMENT-FURNISHED PROPERTY

Section J

Attachment 5

GOVERNMENT-FURNISHED PROPERTY

Attached is a list of Government-Furnished Property in the Critique Resources Consulting Corporation contract.

The Department of Energy will provide leased office space, personal property (furniture, equipment, etc.), and the usage of Government vehicles to the successful contractor.

GOVERNMENT FURNITURE LISTING							
			DELTHA-CTTIQUE				
	COMPUTER EQUIPMEN	SYSTEM	QTY	ID#	OTHER EQUIPMENT	QTY	ID#
					Anti-Glare Screen 17"	7	
	Scanner (replaced 1126611)		1	5009244	Binder, Electric (005421)	1	2735152
	<b>PRINTERS (Listed Below)</b>		<b>5</b>		Book Case	7	none
					Bulletin Board	6	none
	HP Laser Jet 5550dn		1	5014492	Calculator	2	
	Laser Jet 8150DN		1	5013539	Chair	59	
	Laser Jet IID Printer		1	5012108	Credenza Top for File Cabinet, 6 ft x18"	2	
	hp LaserJet 2300dtn		1	5013531	Credenza, Metal	2	
	HP Laser Jet 8150 N		1	5010962	Desk	5	
					Fan (desk)	1	
	<b>PERSONAL COMPUTERS</b>		<b>26</b>		Fax Machine	1	5013520
KB	Desktop Workstation	PC0054-A-01	1	5012717	File Cabinets	31	
RC	Desktop Workstation	PC0055-A-01	1	5012688	Hand Truck (red)	1	
JCW	Desktop Workstation	PC0056-A-01	1	5012711	Hole Punch, Electric, S/# 005416	1	
SD	Desktop Workstation	PC0057-A-01	1	5012680	Mailing Tape Dispenser	1	
LD	Desktop Workstation	PC0058-A-01	1	5012683	Mail Bins	1	
JD	Desktop Workstation	PC0059-A-01	1	5012696	Paper Cutter, Manual	1	
KD	Desktop Workstation	PC0060-A-01	1	5012720	Pencil Sharpener, Electric	1	11442
DD	Desktop Workstation	PC0061-A-01	1	5012707	Postage Machine, Pitney Bowes	1	
DF	Desktop Workstation	PC0062-A-01	1	5012693	Postage Scale, Pitney Bowes	1	
NH	Desktop Workstation	PC0064-A-01	1	5012708	Scale, weight, floor model	1	
BL	Desktop Workstation	PC0065-A-01	1	5012704	Shredder Data Tech 2170	1	1124345
EM	Desktop Workstation	PC0066-A-01	1	5012658	Stacking Cart, Computer System	1	6916
AM	Desktop Workstation	PC0067-A-01	1	5012702	Storage Cabinets	5	
JM	Desktop Workstation	PC0705-A-01	1	5012963	Table	9	
AJ	Desktop Workstation	PC0135-A-01	1	5012678	Time and Date Stamp Machine	1	5013893
CR	Desktop Workstation	PC0068-A-01	1	5012657	TranscribeR, Sony	3	
CS	Desktop Workstation	PC0069-A-01	1	5012706	Transcriber, Lanier	1	
BS	Desktop Workstation	PC0137-A-01	1	5012663	Typewriter, IBM Selectric II	2	
LS	Desktop Workstation	PC0063-A-01	1	5012685	Copier-Documents Centre 432ST	1	
WS	Desktop Workstation	PC0070-A-01	1	5012695	Xerox (mailroom) Copier Documents Centre 470ST Large	1	
DT	Desktop Workstation	PC0071-A-01	1	5012690	Cannon (mailroom) Copier Imagerunner 3300i	1	
AT	Desktop Workstation	PC0072-A-01	1	5012649	Self Inflating Lumbar Cushion/with holder	13	
EW	Desktop Workstation	PC0073-A-01	1	5012659			
GW	Desktop Workstation	PC0074-A-01	1	5012645			
MW	Desktop Workstation	PC0075-A-01	1	5012689			
AW	Desktop Workstation	PC0572-A-01	1	5012873			
JM	Lap Top Computer	PCP612	1	5010076			

SECTION J  
ATTACHMENT 6  
DOE SOFTWARE

## Section J

### Attachment 6

#### DOE SOFTWARE

The following software list is currently being used by the Support Services Contractor to support the Department of Energy:

- Acrobat
- Attachmate Extra
- Compose
- Corel Draw
- Front Page
- Microsoft Office
- Microsoft Photodraw
- Netscape Communicator
- Omni Page Pro
- P/3
- Reflection
- Suretrack
- Visio 2000
- Word Perfect 8
- Xerox Centware
- Other custom Department of Energy applications

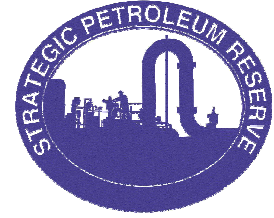
SECTION J

ATTACHMENT 7

DRAFT  
PERFORMANCE EVALUATION PLAN AND  
QUALITY ASSURANCE SURVEILLANCE PLAN  
FOR TECHNICAL AND MANAGEMENT SUPPORT SERVICES  
EVALUATION PERIOD NOVEMBER 1, 2006 THROUGH OCTOBER 31, 2009



**U. S. DEPARTMENT OF ENERGY  
STRATEGIC PETROLEUM RESERVE  
PROJECT MANAGEMENT OFFICE  
NEW ORLEANS, LA**



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**PERFORMANCE EVALUATION PLAN  
  
AND  
  
QUALITY ASSURANCE  
  
SURVEILLANCE PLAN  
  
FOR  
  
TECHNICAL AND MANAGEMENT  
  
SUPPORT SERVICES**

**Evaluation Period**

**November 1, 2006 through October 31, 2009**

## **INTRODUCTION**

**Purpose.** To provide procedures and policy, assign responsibilities for evaluating contractor performance, and determine the amount of performance fee earned by the proposed Contractor.

**Scope.** The provisions of this plan apply to the proposed contract for technical and management support services. Any fee determination made based on this plan is limited to the Performance Fee portion of the fee structure established by this proposed contract.

**Departmental Policy.** The Department expects the Contractor to exercise due diligence in the conduct of all contract activities. The Department further expects that management systems will be in place and enforced to ensure that effective procedures are developed and implemented. The Contractor's failure to oversee, through acts of commission or omission, the conduct of its operations and all of its employees, which potentially or actually causes property damage or loss, endangers the safety, health, or environment, or compromises the ability of the Department to carry out its mission, will be weighed heavily in the performance ratings. By the same standard, the performance ratings will not be adversely affected if the Contractor raises safety issues to the Department of Energy (DOE) for resolution. Furthermore, the performance ratings will not be adversely affected if the Contractor stops an activity that is deemed unsafe even though the Contractor's action may appear to be contrary to DOE direction.

**Responsibilities and Process.** The responsibilities and process for evaluating contractor performance are established in this plan.



## **REVIEW AND APPROVAL OF CONTRACTOR'S PERFORMANCE FEE**

### **Applicability:**

This plan provides process and policy and assigns responsibilities for determining the level of performance of the proposed Contractor in performance of the contract during the contract period.

The objective of the performance fee provisions of the contract is to afford the Contractor an opportunity to earn fee commensurate with the achievement of optimum contract performance. Optimum performance is not necessarily equated with the highest level of performance available in all areas. Rather, it represents the most favorable degree of performance obtainable in light of the Contractor's most effective use of available resources. In addition to providing special management emphasis to the Performance Standards identified in the contract, the Contractor is responsible for striving to attain the highest standards of excellence in executing its responsibilities under the contract. The Contractor is expected to have a strong self-assessment program to measure performance. The Contractor will receive credit for identifying problems to the Department of Energy (DOE), for developing and implementing corrective actions, and for demonstrating initiative.

### **Responsibilities:**

**Contracting Officer.** The Strategic Petroleum Reserve Project Management Office (SPRPMO) Contracting Officer is responsible for transmitting the Performance Evaluation Plan to the Contractor.

**Contracting Officer's Representative.** The Contracting Officer's Representative (COR) prepares the Performance Evaluation Plan, evaluates Contractor performance, and provides a recommended rating. The COR and Technical Monitors shall monitor, review, and evaluate the Contractor's performance against criteria included in this plan, the contract, and generally accepted standards of practice and standard operating procedures. The COR shall solicit input from DOE staff and may obtain input from the proposed Contractor. The COR will prepare a report based on observations, input from others, and information provided in the Contractor's self-assessment report that has been validated by DOE.

**Fee Determination Official.** The Fee Determination Official (FDO) is responsible for approving this Performance Evaluation Plan. The FDO shall review the performance fee

recommendations and make the final determination of the amount of performance fee earned by and payable to the Contractor.

### **Interim Evaluation(s):**

Contractor performance shall be evaluated at the end of the fiscal year. However, the Contractor will receive feedback on performance throughout the year informally or via formal correspondence. In addition, within one month following the first six months of the evaluation period, the FDO will meet with Contractor Management to provide the Contractor with an assessment of their performance. This meeting will serve to notify the Contractor of areas needing improvement, thereby allowing the Contractor at least five months to take corrective action. In addition to areas needing improvement, areas of strength will also be discussed. Documentation of the mid-year assessment may be a report, summary of issues discussed in the meeting, or meeting minutes.

### **Annual Evaluation(s):**

At the end of the fiscal year, the COR will compile a report discussing the Contractor's performance. The report shall include a discussion of each of the performance standards addressed in the Statement of Work in Section C of the contract and an adjective rating (see Attachment 1) for each item. In addition to the performance standards, the Contractor's performance will also be evaluated in their support to the SPRPMO and in their management of costs. Support to the SPRPMO will include the following: management and technical support services in the areas of financial management analysis, cost and schedule controls, integration of appraisal and audit information, coordination and documentation and analysis of configuration management systems, integration and documentation of security procedures, administrative functions, travel management, mail and word processing, reproduction, and other special study requirements. The report shall address any other areas of exceptional or unsatisfactory performance.

The ratings will be based on available performance information (e.g., audits, assessments, self-assessments, task force reports, etc.), information received from DOE staff members, and information from the Management and Operating Contractor who utilizes the services of the proposed Contractor. In addition, data maintained by the Contractor and verified by the SPRPMO will be used as input for the evaluation. In most cases, the evaluations of Contractor performance will be made on the basis of a subjective analysis that reflects the evaluators' informed opinion as to the level of performance achieved. The key to effective subjective assessments is that they will be as informed as possible; personal bias or intuitive feelings are not hallmarks of a proper subjective evaluation. The Statement of Work in Section C of the Contract addresses the Performance Objectives, Performance Measures, and Performance Expectations.

The FDO shall review and discuss the Contractor's performance with the COR and Technical Monitors and others as appropriate. A letter summarizing the FDO's evaluation decision and the amount of performance fee earned shall be furnished to the Contractor within 45 calendar days of the Government's receipt of the Contractor's self-assessment report. This letter constitutes official issuance of the performance fee determination.

### **Performance Evaluation Changes:**

See Part I, Section H.11, Performance Fee of the Contract.

### **Contractor Self-Assessment Reports:**

The Contractor is required by Part I, Section H.11, Performance Fee of the Contract to complete a self-assessment report within 7 calendar days after the end of the fiscal year. In addition to the specified requirements for the self-assessment report, the report should include an evaluation for each of the performance areas and each standard identified in the Statement of Work of the Contract. It is also recommended that a mid-year self-assessment evaluation be completed by the Contractor prior to the meeting discussed previously. This will assist in calibrating the SPRPMO and the Contractor and should minimize surprises when the annual evaluation report is completed by the SPRPMO.

### **Structure of the Fee:**

Each individual standard will be given an adjective rating by the COR and an overall adjective rating for all of the standards. The relative importance of the individual standards will be considered by the COR in arriving at one summary adjective rating for all of the standards identified in Attachment 1 of this plan. The COR will identify an adjective rating for supporting the SPRPMO and an adjective rating for managing costs. The FDO/COR shall translate each of the three adjective ratings into performance points. The three performance areas will be weighted as follows: Standards = 70 percent; Support to the SPRPMO = 20 percent; and Management of Costs = 10 percent. These weightings will be used to arrive at an overall number of performance fee dollars using the Fee Conversion Table (Attachment 2) and amount of performance fee available from Table B-1 of the Contract.

**The Performance Objectives, Performance Measures, and Performance Expectations are addressed in the Statement of Work, Section C.**

**PERFORMANCE STANDARDS CRITERIA**

**(To Be Provided at Time of Award)**

### **GRADING TABLE**

<u><b>Rating</b></u>	<u><b>Description</b></u>	<u><b>Range of Performance Points</b></u>
Outstanding	Performance substantially exceeds expected levels of performance. Several significant or notable achievements exist.	96-100
Good	Performance exceeds expected levels and some notable achievements exist. Although some notable deficiencies may exist, no significant deficiencies exist.	86-95
Satisfactory	Performance meets expected levels. Minimum standards are exceeded and “good practices” are evident in contract operations. ; Notable achievements or notable deficiencies may or may not exist.	76-85
Marginal	Performance is less than expected. No notable achievements exist; however, some notable deficiencies exist. OR, any notable achievements that exist are more than offset by significant or notable deficiencies.	66-75
Unsatisfactory	Performance is below minimum acceptable levels. Significant deficiencies causing severe impacts on mission capabilities exist. Performance at this level in any area mentioned in the Performance Evaluation Plan may result in a decision by the Fee Determination Official/Contracting Officer’s Representative to withhold all award fee for the period.	65 or below
Definitions	<p><u><b>Significant:</b></u> This term indicates a major event or sustained level of performance that, due to its importance, has a substantial positive or negative impact on the Contractor’s ability to carry out its mission.</p> <p><u><b>Notable:</b></u> This term indicates an event or sustained level of performance that is of lesser importance than a “significant” event, but nonetheless deserves positive or negative recognition.</p>	

**See Important Note on the following page.**

**Important Note**

The SPRPMO desires the Contractor to perform at the highest levels of excellence; however, the standard anticipated rating level of a qualified, competent, and successful Contractor is Satisfactory. This corresponds to a numerical rating of 80 points on the Department of Energy contractor performance rating scale, and represents the performance level for which the basic fee has been established. Performance ratings above the standard level will reflect the extent to which the Contractor, on its own initiative, is actively involved in performance improvement activities and the extent to which these actions contribute to more efficient, effective, and economical operation, thus forming the basis for earning performance fee. However, a rating above standard (80 points) may be justified by a high level of sustained performance when further improvement in performance would not be cost effective.

If the Contractor's performance is considered unacceptable in any area of contract performance, the Fee Determination Official/Contracting Officer's Representative may, at his or her discretion, determine the Contractor's overall performance to be unacceptable and withhold the entire performance fee for the evaluation period.

**FEE CONVERSION CHART**

<b><u>Performance Points</u></b>	<b><u>Percent of Available Performance Fee</u></b>	
100	100.0	
99	100.0	
98	100.0	
97	100.0	
96	100.0	Outstanding
95	94.0	
94	88.0	
93	82.0	
92	75.0	
91	68.0	
90	60.0	
89	51.0	
88	43.0	
87	36.0	
86	30.0	Good
85	25.0	
84	20.0	
83	15.0	
82	10.0	
81	5.0	
80	0.0	
79	0.0	
78	0.0	
77	0.0	
76	0.0	Satisfactory
75-66	0.0	Marginal
65 and below	0.0	Unsatisfactory